

**AN EXPLORATION OF THE PERFORMANCE  
MANAGEMENT AND DEVELOPMENT SYSTEM IN THE  
DEPARTMENT OF EDUCATION IN THE EASTERN CAPE**

by  
Vuyiseka Mdoda

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Supervisor: Prof Zwelinzima Ndevu

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## **Declaration**

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## Abstract

The Department of Education is a government department that is given a constitutional mandate to educate learners by equipping them to become better citizens in the future and to increase the country's economic and social development of the country by the future job positions that these learners can occupy. The Constitution of the Republic of South Africa (RSA, 1996: s29) states that education is a basic right that needs to be available and accessible to all. To ensure that the mandate is followed, a Performance Management and Development System (PMDS) was developed to monitor the performance of employees in the Eastern Cape Department of Education (ECDoE). The purpose of this research study was to explore the implemented PMDS in this particular education department and to determine:

- the perceptions of employees concerning the implemented PMDS and challenges the ECDoE may be facing concerning the PMDS;
- if the payment of incentives and bonuses is informed by the overall performance of employees within ECDoE;
- if performance agreements and performance appraisals (PAs) were submitted timeously to the members of the ECDoE;
- the policy framework that is governing the PMDS in the ECDoE.

Literature was reviewed on relevant policies, legislation, documents, annual performance plans, articles, journals and books pertaining to performance management.

The data which was analysed in this research study was collected from both female and male managers, supervisors, and subordinates and the research instrument used was a survey in the form of a questionnaire.

The findings indicated that there are challenges concerning the implemented PMDS in the ECDoE. Employees were/are not trained by the HR unit and, as a result, they feel that the PMDS is not serving its purpose because the PAs are not correctly implemented and, thus, the results are poor. The ECDoE is not responding to employees' personal development plans for improving their performance and they are not given feedback by their supervisors regarding their performance.

The researcher also found out that the ECDoE is utilising the Eastern Cape Provincial Administration (ECPA) PMDS policy and that the payment of incentives was informed by the employees' performance, as indicated by the results of the PMDS. However, when these facts

were passed on to employees, they argued that while they submitted performance agreements and appraisals on time, these were captured very late on the Persal system by the HR unit. The researcher has recommended that all employees should be trained as training is a fundamental issue that tabulates what is expected when it comes to PMDS and proper feedback should be given in order to enhance performance.

## Opsomming

Die Departement van Onderwys is 'n staatsdepartement wat 'n grondwetlike mandaat kry om leerders op te voed deur hulle toe te rus om in die toekoms beter burgers te word en om die sosiale en ekonomiese ontwikkeling van die land te vergroot deur die toekomstige posisies wat hierdie leerders kan beklee. Die Grondwet van die Republiek van Suid-Afrika (RSA, 1996: s29) sê dat onderwys 'n basiese reg is wat deur almal beskikbaar en toeganklik moet wees. Om te verseker dat die mandaat gevolg word, is 'n Prestasiebestuur- en Ontwikkelingstelsel (PBOS) ontwikkel om die prestasie van werknemers in die Oos-Kaapse Onderwysdepartement (OKOD) te monitor. Die doel van hierdie navorsingstudie was om die geïmplementeerde PBOS in hierdie spesifieke onderwysdepartement te ondersoek en te bepaal:

- die persepsie van werknemers rakende die geïmplementeerde en uitdagings wat die OKOD in die gesig staar ten opsigte van die PBOS;
- as die betaling van aansporings en bonusse ingelig is deur die prestasie van die lede van die OKOD;
- indien prestasie-ooreenkomste en prestasiebeoordelings (PB's) betyds by die lede van die OKOD ingedien is;
- die beleidsraamwerk wat die PBOS in die OKOD beheer.

Literatuur is hersien oor toepaslike beleide, wetgewing, dokumente, jaarlikse prestasieplanne, artikels, tydskrifte en boeke rakende prestasiebestuur.

Die data wat in hierdie navorsingstudie geanaliseer is, is van sowel vroulike as manlike bestuurders en studieleiers versamel, en die gebruikte navorsingsinstrument was 'n opname in die vorm van 'n vraelys.

Die bevindings het aangedui dat daar uitdagings is rakende die implementering van die PBOS-stelsel in die OKOD. Werknemers is nie opgelei deur die MH-eenheid nie en gevolglik voel hulle dat die PBOS nie sy doel dien nie, omdat die PB's nie korrek geïmplementeer is nie en die resultate dus swak is. Die OKOD reageer nie op werknemers se persoonlike ontwikkelingsplanne om hul prestasie te verbeter nie en hulle toesighouers kry geen terugvoer oor hul prestasies nie.

Die navorser het ook uitgevind dat die OKOD die Oos-Kaapse Provinsiale Administrasie (OKPA) se PBOS-beleid gebruik en dat die betaling van aansporings deur die werknemers se prestasie ingelig is, soos aangedui deur die resultate van die PBOS. Toe hierdie feite aan werknemers deurgegee is, het hulle egter aangevoer dat, hoewel hulle betyds prestasie-

ooreenkomste en -beoordelings ingedien het, dit deur die MH-eenheid baie laat op die Persal-stelsel vasgelê is. Die navorser het aanbeveel dat alle werknemers opgelei moet word as opleiding is 'n fundamentele kwessie wat tabuleer wat verwag word wanneer dit kom by PBOS en behoorlike terugvoer moet gegee word om prestasie te verbeter.

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# Table of Contents

Declaration.....	i
Abstract.....	ii
Opsomming.....	iv
Acknowledgements.....	vi
List of Figures .....	x
List of Tables .....	xi
List of Appendixes.....	xii
List of Abbreviations and Acronyms .....	xiii
<b>Chapter 1 – Introduction.....</b>	<b>14</b>
1.1 Rational Background .....	14
1.2 Problem Statement .....	15
1.3 Research Questions.....	16
1.4 Objectives of the Research.....	16
1.5 Motivation for the Research.....	17
1.6 Research Design .....	17
1.7 Research Methodology .....	18
1.8 Ethical Considerations .....	20
1.9 Chapter Outline .....	20
1.10 Summary of the chapter .....	21
<b>Chapter 2 – Performance Management theoretical background and perspectives.....</b>	<b>22</b>
2.1 Introduction.....	22
2.2 The concept of performance management and development system.....	22
2.2.1 Performance Management .....	22
2.2.2 Performance Management System .....	25
2.2.3 Performance Appraisal.....	26
2.2.4 Performance Review .....	28
2.2.5 Rating scale.....	29
2.2.6 Performance plans.....	30
2.2.7 Performance Management Cycle.....	31
2.2.8 Targets .....	31
2.3 Theories that Underpins Performance Management and Development System.....	32
2.3.1 Goal Seeking Theory .....	32
2.3.2 Expectancy Theory .....	34
2.3.3 Control Theory.....	35



2.3.4	Social Cognitive Theory .....	36
2.4	The Process of Performance Management.....	37
2.5	The Purpose of Performance Management System .....	38
2.6	The Implementation of Performance Management System.....	39
2.7	The Success of Performance Management and Development System .....	44
2.8	Challenges on Performance Management and Development System.....	48
2.9	Summary of the chapter .....	51
<b>Chapter 3 – Performance Management legislative frameworks in the public sector .....</b>		<b>53</b>
3.1	Introduction.....	53
3.2	Constitution of the Republic of South Africa, 1996 .....	54
3.3	Public Service Act, 1994.....	55
3.4	Public Service Regulations .....	57
3.5	The White Paper on the Transformation of the Public Service, 1995 .....	59
3.6	The White Paper on the Human Resource Management in the Public Service, 1997 .....	60
3.7	The White Paper on Transforming Public Service Delivery - Batho Pele, 1997.....	63
3.8	Labour Relations Act, 1995 .....	64
3.9	Summary of the Chapter .....	66
<b>Chapter 4 - Data Analysis and Research Results.....</b>		<b>68</b>
4.1	Introduction.....	68
4.2	The Research Design and Methodology Used in the Study.....	69
4.3	Pilot Testing .....	70
4.4	The Research Instrument .....	71
4.5	Sampling .....	72
4.6	Ethical Considerations .....	73
4.7	Data Collection Method.....	75
4.8	Reliability and Validity of Data Collected.....	75
4.9	Data Presentation, Analysis and Interpretation.....	76
4.9.1	Section A, Biographical Information .....	77
4.10	Section B: Monitoring and Feedback.....	92
4.11	Section C, Submission of Agreements and Reviews .....	96
4.12	Section D, Rating .....	98
4.13	Summary of the Chapter .....	101
<b>Chapter 5 – Findings, Conclusions and Recommendations .....</b>		<b>103</b>
5.1	Introduction.....	103
5.2	Findings .....	104
5.2.1	Research Objective 1 – To describe the policy framework that governs the PMDS in the ECDoE. ....	104

5.2.2	Research Objective 2 – To establish if the payment of incentives or bonuses is informed by the organisation’ overall performance. ....	106
5.2.3	Research Objective 3 - To seek find the perceptions of ECDoE employees concerning the implemented PMDS.....	108
5.2.4	Research Objective 4 – To determine if performance agreements and performance appraisals were submitted timeously to the members of the ECDoE .....	109
5.2.5.	Research objective 5 - To review existing literature to be able to identify key principles and elements for a successful implementation of PMDS .....	110
5.2.6.	Research objective 6 - To review the acts, regulations and legislative frameworks that are applicable to PMDS in the public sector.....	111
5.4	Recommendations.....	111
5.5	Limitations of the research.....	113
5.6	Recommendation for future research.....	113
5.7	Conclusion .....	113
	<b>References.....</b>	<b>114</b>
	Appendix A – Electronic Consent Form.....	120
	Appendix B – Ethical Clearance Certificate .....	121
	Appendix C – Letter of Approval to Conduct Research (ECDoE) .....	124
	Appendix D – Questionnaire .....	126

## List of Figures

Figure 1: Age .....	78
Figure 2: Gender and Age.....	78
Figure 3: Directorate or Program.....	79
Figure 4: Rank/Position in the Department .....	80
Figure 5: PMDS Policy.....	81
Figure 6: Policy Addressed to Employees .....	81
Figure 7: Implementation of the Policy .....	82
Figure 8: Knowledge of PMDS .....	82
Figure 9: Timeframe for Conducting Workshops.....	84
Figure 10: Program and Workshop.....	85
Figure 11: Training of employees.....	86
Figure 12: Program and Training.....	86
Figure 13: Information/Induction/Orientation .....	87
Figure 14: Performance Appraisals Completed.....	88
Figure 15: Appraisals Rating .....	88
Figure 16: PMDS Serving its Purpose .....	90
Figure 17: Self Review .....	99
Figure 18: Evidence of Extra Work Completed .....	99
Figure 19: Record of Target Accomplished.....	100
Figure 20: Kind of Evidence.....	101

## List of Tables

Table 1: Performance Management System Benefits .....	41
Table 2: Five-point scale.....	42
Table 3: Performance Bonus cale .....	43
Table 4: Sampling .....	72
Table 5: Understood      and      Table 6: Consent .....	77
Table 7: Gender.....	77
Table 8: Employee Experience .....	79
Table 9: Knowledge of PMDS Office .....	80
Table 10: On-time Submission .....	91
Table 11: Staff Submission Time .....	92
Table 12: Performance Monitoring.....	92
Table 13: Frequent Communication .....	93
Table 14: Performance Measured Against Mutually Agreed Set Objectives .....	93
Table 15: Feedback about Positive Performance.....	94
Table 16: Poor Performance .....	94
Table 17: Clear Goals and Objectives .....	95
Table 18: Personal Development Plan.....	95
Table 19: Set Targets .....	95
Table 20: Reminder on Submission Deadline .....	96
Table 21: Reminder Time .....	96
Table 22: Deadlines Discussion.....	97
Table 23: On Time Submission .....	97

## **List of Appendixes**

- a) Electronic Consent Form
- b) Ethical Clearance Certificate
- c) Letter of Approval to Conduct Research
- d) Questionnaire

## List of Abbreviations and Acronyms

DPSA	Department of Public Service and Administration
ECDoE	Eastern Cape Department of Education
ECPA	Eastern Cape Provincial Administration
ECPG	Eastern Cape Provincial Government
GAF	Generic Assessment Factor
HR	Human Resources
HRM	Human Resource Management
KPA	Key Performance Area
KRA	Key Results Area
MPAT	Management Performance Assessment Tool
OTP	Office of the Premier
PA	Performance Appraisal
PDP	Personal Development Plan
PM	Performance Management
PMS	Performance Management System
PMDS	Performance Management and Development System
POE	Portfolio of Evidence
PSR	Public Service Regulations
RSA	Republic of South Africa

## **Chapter 1 – Introduction**

### **1.1 Rational Background**

Prior to 1994 South Africa had ten administrative systems which included Bophuthatswana, Ciskei, Gazankulu, kwaNdebele, kwaNgwane, kwaZulu, Lebowa, Qwaqwa, Transkei and Venda. The frameworks that were governing the public service were highly centralised and regulated, resulting in a bureaucratic, unresponsive and risky public service. There was no accountability and transparency with regard to the public service operations, resulting in corruption by officials and abuse of power. Post-apartheid South Africa needed a reformed governance system that would allow South Africans to claim political and social ownership of the country and, thus, the government was transformed, integrated and rationalised into one governmental system. This amalgamation was aimed at addressing the legacy of apartheid through the transformation of the then existing systems of governance. There was a need to modernise the public service, to make it more efficient, effective, accountable and people-centred, so that it would be able to fulfil its transformative role. According to the White Paper on Human Resource Management (HRM) in the Public Service (RSA, 1997:16, 42), transforming the public service in order to ensure the efficient delivery of its operational and developmental goals depended upon many aspects, such as the commitment and efficacy with which its workers perform out their duties and how these employees are managed. During 2000, the South African government adopted the institutionalisation of a Performance Management and Development System (PMDS) the objective of which was to align individual work output with organisations goals and objectives. In 2003, after the government has adopted the PMDS, the Eastern Cape Provincial Administration (ECPA) adopted and implemented a provincial PMDS.

In 2003, it became compulsory for all government departments to implement a PMDS, including Department of Education, because the Public Service Regulations (2001:33), required departments to develop a Performance Management System (PMS) in order to manage performance in a consultative, supportive and non-discriminatory manner. The PMS framework was introduced into the public sector in order to achieve effectiveness in the implementation of service delivery and strategic objectives and to promote accountability and responsibility amongst civil servants. Historically, the PMS was developed to authenticate the process of wage determination and to encourage employees to achieve specific outcomes (Bhattacharyya, 2011:10). PMS can be used to communicate and strengthen an organisation's

strategies, values and norms, and to integrate individual and corporate objectives (Armstrong, 1999:162). According to Corbridge and Pilbeam (1998:201) performance management (PM) “... starts with a clear exposition of the organisation’s mission in a statement of [its] values and beliefs”. In some sectors of the public service employees within the same department use different templates for PAs and the manner in which these appraisals are completed is not standardised. For example, in the same office one employee can elaborate what his or her daily activities are and what s/he has accomplished under the section headed ‘Progress Made’ while another individual will only choose to write [daily] under progress made heading, thus making it difficult for the supervisor to identify what the second subordinate employee has achieved. This lack of uniformity results in confusion because some employees claim they have been completing the PMS in this manner for many years and have been receiving bonuses based upon their input. This situation raised a question in the researcher’s mind regarding how the PMDS was/is implemented in the various public service departments that results in employees applying different standards when completing the PMDS.

Some employees see the PMS as a means of financial gain and, consequently, there is confusion regarding the following rating scale used when assessing performance

4=performance significantly above expectations

3=fully effective

2=performance not fully effective

1=unacceptable performance

As a result of this confusion, individuals allocate themselves fives and fours, whereas their performance is actually ‘fully effective’, ‘not fully effective’ or even ‘unacceptable’. In this study, the researcher aims to establish the criteria that was/is used for accepting PAs without a portfolio of evidence (POE) for people whose performance was/is deemed to be significantly above expectations. In addition, the researcher seeks to shed insight on how the PMDS was/is implemented in the ECDoE resulting in large financial pay-outs in the form of bonuses and incentives and whether the payment of these incentives was/is informed by the overall organisational performance of the ECDoE.

## **1.2 Problem Statement**

According to the ECPA PMDS policy, provincial government departments are not 100% compliant when conducting assessments and quarterly reviews are not conducted timeously defeating the purpose of managing employees’ performance. Reviews and annual assessments are conducted simultaneously at the ‘last minute’. As mentioned previously, employees



perceive the PMDS as an instrument for obtaining financial reward and not as a mechanism for improving performance and developing employees and, as a result, huge sums of money have been paid out on bonuses (Eastern Cape Provincial Administration, 2018:4).

The Management Performance Assessment Tool (MPAT) for the ECDoE reported that only 28% of employees contracted their PAs timeously which subsequently were captured on persal system for level 1 to 12 for 2018/2019.

As mentioned above, the ECPA requires all departments to implement PMDS to regularize PM. Based on these findings, this research project aims to investigate how the PMDS is implemented in the ECDoE.

### **1.3 Research Questions**

This research seeks to answer the following questions:

- How was/is PMDS implemented in the ECDoE?
- What are the challenges the ECDoE faces concerning PMDS?
- Is the PMDS correctly implemented in the ECDoE?
- Is the payment of bonuses informed by the provisions of the PMDS?

### **1.4 Objectives of the Research**

The objective of this research is to explore the implemented PMDS in the ECDoE:

- To describe the policy framework that is governing PMDS in the ECDoE.
- To establish if the payment of incentives or bonuses is informed by the overall performance of employees within ECDoE.
- To seek to discover the perceptions of the ECDoE' employees concerning the implemented PMDS.
- To determine if performance agreements and performance appraisals (PAs) were submitted timeously to the members of the ECDoE.
- To review existing literature to be able to identify key principles and elements for a successful implementation of PMDS.
- To review the acts, regulations and legislative frameworks that are applicable to PMDS in the public sector.

## 1.5 Motivation for the Research

This proposed research study seeks to shed insight on the following issues: how the PMS is implemented, the benefits and challenges that this system faces; the framework that is governing the ECDoE, if the payment of bonuses is informed by the performance of the employees and the perceptions of employees regarding the PMS. The outcomes of the proposed research will add to literature relating to PMS in the public sector and will provide managers, supervisors, subordinates within the ECDoE, and other government departments, with information on the implementation of the PMDS. The notion of PM was developed to substantiate the process of wage determination. Also, traditionally organisations used PM to drive the behaviour of employees to obtain explicit results. The focus of PM has progressively shifted towards promoting, learning and developing a strengthened work environment. PM became a process of continuous development of employees to sustain organisational competitive advantages and employees view it as a way of achieving financial benefits. According to Bhattacharyya (2011:10), some of the key driving factors for the development of a scientific PM system are:

- Strategic dimensions of HRM functions.
- Integrated approach to develop the competencies of employees and their performance.
- Identification of those employees that contributed most or at least.
- Undertaking an in-depth valuation of training needs of its employees.
- Setting development plans for employees.
- Assessing future career development requirements.

In light of the above, planning, implementation, monitoring and evaluation are key success factors of performance management. If performance management systems are well planned and implemented, followed by monitoring and evaluation after implementation, then PM systems can function well.

## 1.6 Research Design

Mouton (2001:55) defines the research design as a plan or model for how you expect to perform the research. The research design to be used will intend to explore and describe the policy framework that is governing PM and development in the ECDoE. It will seek to find the feasibility of implementing PM and to establish if the payment of bonuses is informed by the overall performance of employees. To ascertain employees' perceptions of the implemented

PMDS and how it is affecting them. This research will be an empirical study using primary data and analysing existing numerical and textual data. Simultaneously it will involve non-empirical research by conducting a study of relevant literature and making use of available documents, texts and websites. The kind of questions the researcher is aiming to ask are of exploratory and descriptive nature and, thus, the researcher will use both qualitative and quantitative approaches. In the qualitative approach the researcher conducts the investigation in a philosophical manner, thus, resulting in the procedures being formalised and explicated in a fairly strict manner and the scope being less defined in nature, (Mouton & Marais, 1994:155). The qualitative approach will assist the research to better understand the issues being investigated and to define their related concepts. The reviewed literature will be inclusive of related legislation and policies as well as various texts relevant to the topic. The aim of using legislation and policies is to explore the correct policies that are meant to be used in conjunction with the policy framework that is governing PM in the ECDoE. Employees within this department are using different templates and methods when compiling PAs. The purpose of the research questionnaire is to ascertain from managers their perceptions of the use of PM in their departments, the policies governing the PMS and whether the payment of incentives is informed by employees' performance. In addition, it will seek to establish ways to ensure the timely submission of employees' performance agreements, workplans and personal development plans.

The quantitative approach will be conducted by the use of a structured questionnaire to discover the participants' perceptions on the implemented PMS. The researcher seeks to determine whether the participants understand the policy framework governing the ECDoE, the purpose of PMS, how it works, together with its challenges. This information will assist the researcher to establish employees' opinions regarding what they think, believe or value, together with their ability to discover these views for themselves.

## **1.7 Research Methodology**

The research approach will be both qualitative and quantitative in nature. Quantitative research can be classified as a means of testing objective theories by testing the measurable relationship between variables and the numerical data analysed using statistical methods. Quantitative data will be obtained by means of a survey that incorporates a standardised research instrument in the form of a questionnaire that will be entirely anonymous. The researcher will conduct a literature review, establish a target population, sample the said population and collect, analyse and interpret the data. The research will focus on the participants' perception of the PMDS in

the ECDoE and how it was/s implemented by consulting supervisors and subordinates as well as their views of the payment of salary increases and bonuses, policies governing the implementing of the PMS and the subsequent challenges for the ECDoE department is facing. The researcher will target ten middle and two senior managers, and twenty subordinates in order to get clarity on the listed aspects. In the qualitative research section that aims to verify the implemented PMS and payment of incentives and bonuses, the researcher will also target senior and middle managers and subordinates in order to acquire an understanding of how supervisors and managers perceive the performance of employees. Data for this section will be obtained also from ECDoE's statistical, annual and provincial reports.

The survey will be communicated by use of the ECDoE's e-mail system, targeting managers and subordinates because PM affects all personnel. The initial approach will stress that participation is a voluntary process and that employees are not obliged to partake in the survey. The advantage of implementing a questionnaire and making use of e-mail distribution is that it will enable the researcher to explain the study. The participants' credentials and responses will be kept confidential and thus they can participate without feeling their opinions will be judged.

The stratified random sampling will be used and the participating employees will be divided into two groups, namely managers and subordinates and the simple random sampling method will be applied within each stratum. The aim of this division is to improve the accuracy of the sample so that errors can be avoided. Then the purposive sampling will be conducted with the managers in order to obtain secondary data for the ECDoE statistics. An electronic questionnaire will be sent to both the managers and subordinates in the department.

The purpose of engaging with managers is because they assess the performance of their subordinates and it is the manager's final scoring that is taken into consideration when calculating the final performance rating.

During the construction of the questionnaire proper controls will be implemented to ensure a high measure of reliability and validity. The simple random sampling used will be tested for reliability and validity in order to facilitate the collection of relevant and accurate data. Sampling will be unbiased and all employees (managers and subordinates) will have an equal chance of being selected (Cresswell, 2003: 220). The questionnaire will be designed in such a way that the participant can choose whether s/he is a senior or middle manager or a subordinate, and the questions will be differentiated according to the respondent's rank.

Data analysis: The questionnaire will have a deadline of six weeks for completion which will enable the researcher to know when to start and finalise the process of collecting and analysing data. Analysing the data while the process of responding to the questionnaire is still in progress will give the researcher sufficient time to effectively interpret the received responses. A final detailed analysis will be conducted once all the questionnaires have been submitted.

## **1.8 Ethical Considerations**

An ethical clearance certificate will be applied from Stellenbosch University in order to gain permission to conduct the research. While collecting data, several issues will be addressed. Participants will be informed in advance that participation is not compulsory and the information they will provide will be regarded as confidential and kept secure. The purpose of this research and what it seeks to accomplish will be shared with them. Employees will have the right to refrain from participating in this research project and to withdraw their involvement at any time they wish to do so.

## **1.9 Chapter Outline**

### **Chapter 1: Introduction**

This chapter provides the background/rationale of the study together with the researcher's reasons/interests for engaging in this research study. The chapter includes the problem statement, objectives, research design and research methodology.

### **Chapter 2: Literature Review**

This chapter provides a detailed review of literature pertaining to the research study's topic concerning the implemented PM. It is inclusive of theories on PM, the concept, purpose and process of PM, together with the benefits of the effective implementation of PM.

### **Chapter 3: Legislative framework**

This chapter discusses the legislative frameworks regarding the PMS. These frameworks include the White Paper on the HRM, the White Paper on the Transformation of the Public Service, the Constitution of the Republic of South Africa (RSA) and the Public Service Regulations.

## **Chapter 4: Data Analysis and Research Results.**

This chapter discusses data collection and the analyse the research findings. These findings are organized in four topics: 1) legislative frameworks that govern PMDS; 2) Perceptions of employees; 3) Payment of incentives; 4) submission of performance agreements and appraisals.

## **Chapter 5: Findings, Conclusions and Recommendations:**

Chapter five present the findings gathered from the policies and the research instruments used and also provide conclusions and recommendations based on these findings. It also recommends future studies that should be conducted, informed by the results of this particular research project.

### **1.10 Summary of the chapter**

This chapter has discussed the background and introduction to this research study which is an exploration of PMDS in the ECDoE and has explicitly described the problem statement, together with the research questions and objectives the study aims to address. The research design and methodology has been described, together with details of how the study will be conducted and the data collected in order to provide empirical evidence for the study. The individual chapters have been outlined, indicating the focus areas to be investigated and the manner in which the study will be conducted.

The next chapter will review existing literature on the PMS/PMDS and provide the views of various schools of thought regarding this system and how it should be implemented in the workplace in order to improve service delivery. The information gathered from this literature review will assist in developing a way forward for this study's research questions and objectives.

## **Chapter 2 – Literature Review**

### **2.1 Introduction**

This chapter deals with literature review concerning the PMDS that was set up in July 1999 by the Department of Public Service Administration (DPSA) for government institutions in South Africa. The purpose of the PMDS is to ensure that government departments are delivering on set plans, improving productivity and obtaining a culture of performance and responsibility as well as focusing on results or outputs. Towards the end of 2000 the ECPA piloted individual PMDSs in some departments and it became compulsory for all departments to adopt PMDS by 2003 Public Service Regulations (2001:33). The ECPA also developed a PMDS handbook which was designed to assist departments with the execution of this system as well as developing their policy measures to improve both individual employee's performance and their overall service delivery.

PM is an ongoing process between the employer and the employee through which they strive continuously to enhance the employee's individual performance and contribution to the organisation's wider objectives. There are principles that govern PM, namely results orientation, participation, openness, fairness and objectivity, all of which are found in the White Paper on the Human Resource Management in the public service (RSA,1997). This paper states that it is the responsibility of the HRM department to ensure that (1) employees know what is expected of them, (2) managers know whether their employees are performing as expected and are meeting the objectives of the organisation and (3) poor performance is detected and improved and good performance is acknowledged and rewarded (RSA,1997).

The implementation of PMDS gives employees at many levels a chance to learn new skills and techniques to perform their duties more effectively and to yield above expected results. The aim of this literature review is to discover what academics are saying regarding the PMS/PMDS and to discover methods and recommendations that can assist the ECDoE in overcoming the challenges resulting from the mandatory implementation of the PMDS.

### **2.2 The concept of performance management and development system**

#### **2.2.1 Performance Management**

According to the ECPA' PMDS policy, PM is a process of utilising all available human and material resources within the organisation and ensuring that these are utilised to the maximum

in order to achieve the desired results. This process includes construction procedures, systems, diversity management, work ethics and relationships that facilitate the accomplishment of organizational goals; it is aimed, therefore, at both individual and organisational performance (ECPA, 2018:10). Price (2001:298) explains that PM is a process or set of processes for creating a common vision of what needs to be accomplished and managing and developing people in a way that increases the likelihood that the goals set can be accomplished in the short to long term.

Nel, Werner, Haasbroek, Poisat, Sono & Schultz (2008:493) define PM as a holistic process towards achieving the effective management of individuals and groups to ensure the realisation of both their shared goals and the organisation's strategic objectives. It is clear from these authors that PM is not just a process but that there must be mutual understanding between all parties of what is to be achieved and, in particular, employees should understand what the department's goals and objectives are.

Armstrong (1999:162) shares these above views and regards PM as a tool of management that is designed to help the organisation to achieve and/or improve its strategic goals. Moreover, he adds that there are PM systems that are in place to manage and measure the performance of both employees and the organisation. These PM systems can be used for the following purposes: to communicate and strengthen the organisation's strategies, values and norms and to integrate individual and corporate objectives. To efficiently control the performance of employees, the vision, mission, strategic goals and strategic objectives of the company need to be communicated to employees in order to properly understand the future of the organisation.

Price (2001:304) agrees with Armstrong by stating that each organisation has a vision and mission, together with goals and objectives which should be communicated to the employees within the organisation. PM targets are set, such as key performance indicators and generic assessment factors linked to sectional and organisational objectives, and quarterly formal reviews of progress towards achieving these targets are available. A review process is conducted which identifies training, development and reward outcomes and the whole process is evaluated and the results fed back through changes and improvements. Corbridge *et al* (1998:203) maintain that an effective PM strategy can contribute to an environment in which employees understand the culture of their organisation, the standards expected and the support available for achieving the required high levels of performance. According to Buys (2007:267)



there is a development in the use of a ‘team effort’ within organisational structures as the vehicle for achieving these higher levels of performance.

It is clear that PM not only focuses on managing the performance of employees, it requires capacity building, better understanding of the organisational culture and rewards. The organisation is responsible for allowing its employees to contribute to the fulfilment of both their interests and those of the organisation (Armstrong, 1999:165). Thus, capacity building is also one of the main factors in improving organisational performance. Line managers have a major role to play in building the right learning, growth and, subsequently, improved performance environment (Gibbs, 2003:281).

Grobler, Warnich, Carell, Elbert & Hatfield (2011:293) maintain that tools such as reward systems, job design, leadership and training should accompany PA as a part of an organisation’s comprehensive approach to PM. Shield (2007:35) believes that putting a rewards system that recognises enhanced performance in place will ensure that “ordinary employees will be motivated and the right people retained”. The researcher agrees with Shield (2007) that when employees are recognised and appreciated by their supervisors, they are motivated and are even more motivated when they receive rewards – in fact employees put more effort and energy into their work in the hope of receiving rewards.

Deb (2008:30) cites Mc Cloy, Campbell and Cudek (1994) who described performance as multidimensional behaviours or actions that are important to the objectives of the organisation. Deb (2008:41) says that PM is a system for the integration of organisational and employees’ performance goals. The general company objective of the organisations is to connect the work of each individual worker or manager to the general mission of their particular work unit. Bacal (2004:3) agrees that PM has made an upfront investment in order to attain some very practical objectives, for instance, PM can be used to ensure that the job of each employee contributes to the objectives of the work unit. It can decrease the quantity of guidance management needs to provide staff by clarifying what employees need to do and why they need to do it. A well-established PM strategy enables staff to identify issues when they happen so that they can solve them timeously and, as a consequence, the need for work-based discipline is decreased. Most importantly, PM can enhance productivity if both management and employees are mutually committed to the whole process.

The researcher agrees that, PM is a process for managing both individual and organisational performance and establishing what goals need to be achieved. In order for the PM process to work precisely it must be implemented effectively by setting and linking individual goals with the strategic objectives of the department. Once the goals are set, employees are in a better position to understand what is expected from them by referring to their performance areas. The PM strategy gives a clear description to employees about their line of work. Additionally, in order for a manager to measure performance and manage it effectively, the PM targets need to be set, including performance indicators, and these indicators should be assessed timeously.

### **2.2.2 Performance Management System**

PMS is the process of performance planning (goal setting), performance monitoring and coaching, evaluating (assessing) individual performance linked to organisational goals and providing feedback, rewarding the individual on the basis of achievement against the goals of performance and the competencies required, and creating a strategy for future growth. A PMS is a way of producing better results from the organisation, teams and individuals by understanding and managing performance within the agreed structure of planned goals and standards consistent with performance attributes and competence (Armstrong, 2011:202).

Armstrong (2009:59) further explains that a PMS is a collection of interrelated activities and processes that are holistically treated as an embedded key element of an organisation's strategy for managing performance through individuals' performance and developing its human capital's abilities and capacities, thereby improving organisational capacity and achieving a continuous competitive advantage.

Deb (2008:44-46) states that the PMS also seeks to reward personal development and accomplishment. A good PMS encourages staff to improve their performance, fosters self-motivation and builds and strengthens relationships through open and effective communication between staff and managers. A successful PMS needs staff and managers to reach a goal agreement which leads to more complete common knowledge and not unfounded expectations. A well-executed PMS is a medium for managers and staff to acquire an understanding of the purpose of the organisation's mission. A PMS must be based on agreed standards that are based on organisational strategy and then transformed into individual plans and goals for the future. In order to have a sound PMS, these performance standards must be realistic and attainable,

otherwise the PA method will fail to meet its goals. Kandula (2010:28) believes that the development of the PMS should be detailed and include all associated PM approaches, such as reward, career, teamwork, culture, measurement, competency and leadership growth. Each of these approaches should be evident in terms of the individual and organisational goals, operational information, flow of operations, measurement indices, deliverables and accountability.

Armstrong (2009:49) cited Strebler, Bevan and Robertson (2001) criticism of the PMS; which stated that the wholesale transition of PM responsibilities to line managers meant that they had to understand and possess the numerous and often complicated and subtle management abilities needed to set targets in line with a broader business plan, evaluate performance, provide positive feedback, identify training and growth requirements, and rate performance for pay reasons. Not all of these line managers, however, have voluntarily or consistently adopted this opportunity for improving their knowledge and management skills, thus leading at best to the implementation of performance review systems of variable quality.

Strebler, Bevan and Robertson (2001) further criticised the PMS by saying that PM assumes that line managers have the capacity and motivation to fulfil the conflicting roles of judges and coaches and provided proof that they have failed to perform on both counts. These researchers also alleged that PM is more concerned with control rather than with growth, and that the majority of managers do not have the ability to make the PMS function effectively.

Strebler, Bevan and Robertson (2001) claim that organisations create sophisticated, complex and integrated performance assessment models related to pay progression, team bonuses, personal development plans, competencies and 360-degree feedback. These designs often fail to take cognizance of the ability/inability of line managers to assimilate and deliver the processes, the affordability of the training required, the quality of the support needed by HR and doubts as to whether the benefits will justify the costs. In the main, these authors are condemning the inability of line managers to effectively manage the PMS, thus resulting in its failure. However, the researcher is of the opinion that with the necessary training and development, line managers could become competent at implementing the PMS for the benefit of both employees and their employer.

### **2.2.3 Performance Appraisal**

According to Sahu (2007:7), performance appraisal (PA) relates to all the official processes used to assess a person's contribution and potential. It involves planning and measuring an individual's performance in terms of the work requirements, and is also a method for

determining how efficient the organisation has been in recruiting and placing employees. Sahu identifies the need for PA and claims that this process highlights employees' training requirements. PA is, therefore, an instrument for counselling and instruction that helps to enhance employees' performance for future work tasks in order to make more effective use of the workforce, minimize employees' grievances and boost superior analytical skills.

Bhattacharyya (2011:54) concurs with Sahu by stating that PA is a single, important tool that helps to identify training requirements and strengthens training activities in order to ensure the proper allocation of activities between the different members of a team. PA involves the review and evaluation of employees' behavioural analysis. Bhattacharyya (2011:7) further defines PA as a formal method for evaluating the performance of staff in terms of attaining organisational goals. It summarizes the evaluation and development of employee performance based on the objective assessment of performance associated information.

Similarly, Rao (2004:46) declares that PA should be seen as a growth tool for each worker which be owned primarily by the appraisees rather than by the appraiser and the HR units.

Bacal (2004:4) states that PAs alone do not improve performance, this only happens when employees carry out the recommended PM actions. This process involves the line manager and employee together planning performance, communicating, diagnosing problems and reviewing performance continually throughout the year.

Deb (2008:36) describes the following notions that are required for PA:

- Clearly described organisational goals and objectives.
- Individual or team goals or management objectives.
- Accurately described performance standards and the abilities and competencies needed to fulfil them.
- Regular formal reviews of employees' progress.
- Feedback systems and enhancement approvals.

Deb (2008:66) additional states that PA is a management key method that seeks to improve the performance of staff in order to achieve more productivity through target setting. Systematic and reliable data based on staff's 'on the job' performance should be gathered through a formal and standardized system. Deb (2008:125) believes that by enhancing the probability that excellent performance will be acknowledged and rewarded and poor performance corrected, a sound PA system can contribute to both the motivation of HR and the performance of the organisation. Lee (2005, cited in Armstrong, 2009:47,) criticised most traditional PA systems as being essentially flawed because they are counter-productive in design. The stated purpose of these systems is to measure and rate past performance when, in reality, the objective of any

PMS should be to improve future performance. No one has the power to change the past, so it is far wiser to direct attention and efforts towards the future. The researcher is in agreement with Lee's comments that the past cannot be changed but believes that the past can be used as a benchmark to enhance future performance by identifying the gaps or the constraints which made the employee under-perform so that a remedial training process can be offered to the employee. Ultimately the PA is an instrument that can and should be used to improve employees' performance, especially if work goals and objectives are identified clearly.

#### **2.2.4 Performance Review**

Performance review is a structured and formal process in which the staff members receive feedback on their performance and thus provides opportunities for improvement before the annual review takes place (ECPA, 2018:6). According to Rao (2004: 46) performance reviews can assist with the communication of the employees' views, problems and expectations to their seniors and, thus, assist them to enhance their performance.

Bacal (2004:5) says that performance evaluation is the least significant component of PM. Improving performance and creating more pleasant conditions in the workplace must be managed not only through a process of evaluation and/or review. Performance related communication must be conducted throughout the year in order to identify problems before they result in significant costs to the organisation. Deb (2008:48) agrees with Bacal (2004) that performance review or assessment is a key factor influencing PM. Performance reviews may be either formal or informal in nature and should take place at predetermined intervals throughout the year and feedback given timeously to staff.

Deb (2008:48) specifies that employees' performance reviews should include the following measures,

- Determine the goals of the appraisal,
- Choose the appraisal technique,
- Determine the appraisers,
- Train managers and staff,
- Distribute the review form,
- Finalize the score and
- Communicate the ratings.

He further indicates that performance reviews should involve the following processes

- Linking the reviews to the planning process, the agreed main goals, as well as the overall results of the previous assessment.
- Planning meetings, dates, times, venues in advance with the worker.
- The employee should be provided with all work-related data, preferably before the meeting.
- The review should concentrate solely on performance results and not on aspects unconnected to success, such as behavioural characteristics and gender or race related problems.

Kressler (2003:64) indicated that the following steps should be used when preparing performance reviews

- Evaluators are obliged to guarantee that their assessment is recorded accurately and fully in writing. A formula is usually used for this purpose.
- Employees should be made aware of what the assessment review intends to accomplish.
- Evaluators should take account of what employees have accomplished and of the circumstances that have helped or hindered their performance.
- Evaluators should revisit the appropriate key points and particular intentions that have been raised and discussed during the period being assessed.
- Evaluators should empathise with the employees and attempt to predict their opinions and expectations.
- All foreseeable disruptions during the period of the assessment should be eliminated.

### **2.2.5 Rating scale**

The rating scale is a standard scale used for the purpose of rating employees in relation to specific performance classifications and are often employed to implement a degree of comparability in assessment systems (ECPA, 2018:7). Performance rating is a summary of the employees' actions. It monitors performance variations over distinct time periods and, therefore, defines the best, average and poor performers (Bhattacharyya, 2011:33). Fletcher and Williams (2008:16) claim that rating scales are easily understood, provide flexibility, promote a more analytical performance review by requiring appraisers to think about the distinct elements of the work and foster comparisons between individuals. However, they also

state that ratings are subjective, leading to a multitude of distortions and biases. Appraisers rarely spread their ratings across the complete range of scales and, consequently, rate nearly everyone as an average or high performer. The main reason for this generalised rating lies in the problems that appraisals pose for managers.

Fletcher and Williams (2008:18) present the following negative views on performance rating: when appraisers are subject to bias, if they interpret the significance of the same scale differently or fail to distribute their judgments across the scale, then the assessment does not provide a foundation for fair and precise discrimination between individuals at different levels of performance. The researcher agrees with Fletcher and Williams comments that ratings are subjective and often biased. Sometimes managers rank a person's performance as very high whereas they know that the performance is significantly below average. At other times managers are threatened by unions and find themselves in a situation in which they are forced to provide employees with a higher rating than their performance deserves.

According to Krausert (2009:255) rating is the cognitive process of aggregating and classifying observations into value categories on a certain value scale. Therefore, if a rating system is used, then both the organisation and its assessors should be clear about the importance of the different ratings and what standards apply to each rating. It is essential that the organisation should have a surveillance system to guarantee consistency between departments, as well as between individual assessors. If performance scores have an impact on compensation, the organisation must decide how to link these two entities. Performance associated pay should not be the driving force behind the PM process. Issues relating to payment should not be discussed at performance review meetings (Deb, 2008:50). Both the appraiser and the appraised should agree or agree to disagree on the issues set out in the written record of the meeting.

### **2.2.6 Performance plans**

Performance plans include the essence of PM agreements such as performance agreements, workplan agreements and normal framework agreements (ECPA, 2018:6). Organisations with performance development plans will improve the quality of the employees' work performance in order to make them enablers of organisational growth and development. Bhattacharyya (2011:8) states that performance development plans need to be strengthened by making employees understand the need for change and motivating them to take advantage of ongoing learning and professional growth that will improve their work or career knowledge, skills and experience, thus enabling them to fulfil or exceed their performance expectations. He further



points out that performance plans should clarify what employees need to do in order to be more successful in their work. These plans comprise written and recorded performance components that form the foundation of PM. Unrealistic performance standards lead to complications because employees become demotivated when their performance is rated as being far below their allocated objectives (Bhattacharyya, 2011:31-33).

Rao (2004:15-16) supports the above principles by stating that performance planning is an appropriate means of guaranteeing that employees provide the quality inputs necessary to achieve the anticipated outputs. This method provides the business with a sense of direction and ensures excellent economics. In addition, it increases the employees' contribution and enhances their self-esteem. Rao (2004:46) further describes performance planning as a systematic outline of the distinct operations that the manager is expected to perform during the year in order to contribute successfully to both employees' development and organisational results. Performance plans likewise assist employees to see directions for their work and to recognise area in which they can made an important contribution, thus, preventing wastage of time on irrelevant tasks. The researcher agrees with the above authors that planning is an effective way of confirming that employees are delivering what is expected of them and, in cases of substandard performance, interventions can be introduced. However, regretfully, in some organisations in which personal development plans exists, employees do not have access to the training programmes indicated as necessary to improve their performance. Occasionally employees and managers complain that appropriate training is not provided by the HR units.

### **2.2.7 Performance Management Cycle**

The PM cycle defines the three stages of PM, planning and contracting, performance review and annual performance assessment. This cycle is expected to coincide with the financial year from 1 April to 31 March (ECPA, 2018:6). Bhattacharyya (2011:6) states that PM cycle begins with key work descriptions, strengthened with strategic plans and objectives, that translate into performance growth via PA, observations, feedback and the subsequent reformulation of performance standards.

### **2.2.8 Targets**

Targets are agreed upon in the form of quantitative or qualitative amounts that support performance indicators in describing the optimal level amount of performance needed (ECPA, 2018:7). According to Kressler (2003:142), the final analysis should assess whether the objectives have been achieved, exceeded or failed. Objectively verifiable quantities are the



most helpful and, thus, the performance evaluation should be based on a combination of quantitative ratings and qualitative criteria. However, these standards need to be clearly defined. Ideally, this process should have been completed when the goals were agreed between managers and employees. This process will guarantee complete clarity as to what should be accomplished and how achievement should be measured. The researcher agrees with both Kressler and the ECPA, because when targets are set employees know exactly what they must accomplish by what date. It also places employees in a position to assess whether they have performed according to the set standards.

## **2.3 Theories that Underpins Performance Management and Development System**

PM theories explicitly state the concepts on PM, the importance and originality of the theory and also give a detailed description of the extent to which these theories offer insight into the PM process. The following PM theories will be discussed further below: goal seeking theory, expectancy theory, control theory, social cognitive theory and attribution theory and be able to identify relationships between PM and these theories.

### **2.3.1 Goal Seeking Theory**

Some organisations understand the importance of having a PMS in the workplace. Top managers who devote time to establishing or developing strategic goals and objectives are following the goal setting theory. Goal setting is necessary to ensure the employer and employees reach mutual understanding. At the employees' level, the goal setting plan describes and clarifies exactly what must be achieved as well as the alignment of employees' efforts to departmental goals. PMS is the process of planning the performance of an individual employee by setting goals for the individual to achieve and then monitoring and evaluating their attainment on a quarterly basis. For a PMS to qualify as being successful it needs to comply with the goal setting process which, according Morne et al., (2002:93) involves the following stages:

- Employees in consultation with their supervisors set time frames in which the goal setting process is to be completed.
- Employees are encouraged to read the department's vision and mission, review their job descriptions, together with strategies and tactics for identifying priorities during that financial year and then use this information as the basis for developing their performance agreements and developmental plans.

- Managers meet with employees to review and discuss their strategic goals and ensure that the employees' performance agreements have realistic measurable objectives that are aligned with the overall strategic objectives of the department in a meaningful way.
- Managers and employees sign the performance agreement that has set dates in which to achieve the targeted objectives.
- Performance is then measured in a consultative, supportive and non-discriminatory manner to enhance organisational efficiency and effectiveness, accountability for the use of resources and the achievement of results.
- The PM processes links to broad and consistent employee development plans which are aligned with the department's strategic goals.
- PM processes are developmental and allow for both the full recognition of a successful performance and an effective response to a performance that is consistently lower than expected.

Armstrong (2009:28) indicates the following four mechanisms that connect goals to performance outcomes that were developed by Latham & Locke (1979): (1) Goals direct attention to priorities, (2) Goals stimulate effort, (3) Goals challenge people to harness their knowledge and skills to increase their chances of success and (4) The more challenging the goal, the more people will draw upon their full collection of skills. Armstrong additionally states that goal seeking theory underpins the emphasis that PM places on setting and agreeing to the objectives against which performance can be managed and measured. This theory supports the objectives, feedback and review aspects of PM. Armstrong (2009:29) further cited the claim by Robertson, Smith and Cooper (1992) that goals assist employees to achieve a particular level of performance so that they can direct and evaluate their actions, while performance feedback allows them to identify how well they have performed in relation to the set goal. Goal-setting processes also may allow managers discretion when determining performance dimensions, measures and/or standards. A participatory variant of the goal setting theory emerged in the 1960s and 1970s, which allowed objectives to be agreed bilaterally between the supervisor and the subordinate. This concept purported that this dual involvement in the goal-setting process would lead to a more in-depth identification of the objectives by the subordinates and, consequently, result in greater effort (Krauset,2009:202). The researcher supports the notion that the goal setting theory clearly explains that supervisors, in consultation with their employees, set time frames in which the goal setting process is to be completed. Both managers and employees discuss and agree upon the set goals and objectives and ensure that

performance agreements are aligned and signed on time. By agreeing to these conditions, both parties ensure that the set goals are achievable because neither party benefits if managers set demoralising goals that the employees cannot achieve.

### **2.3.2 Expectancy Theory**

According to Armstrong (2009:28) employees make an effort in the workplace because they expect to be rewarded. He maintains that PM was developed with the purpose of assisting people to achieve better results. PM aligns with the expectancy theory because it defines the relationship between effort, achievement and rewards as a means of motivating people and providing them with a sense of direction.

Dubrin (2013:206) supports Armstrong by stating that expectancy theory is based on the premise that the amount of effort people expend depends on how much reward they expect to receive. Kandula (2010:17) agrees with Armstrong and Dubrin by suggesting that the expectancy theory purports that individuals are motivated to choose and perform a job in a specific way because they expect this activity to lead them to achieve something they value. Therefore, the intensity of the individuals' exertion is usually equal to the value they attach to the anticipated reward.

According to Dubrin (2014:206) and Kandula (2010:17) the expectancy theory has three key components:

Valence – the value of the outcome of the effort and the degree of value of the outcome varies from person to person.

Expectancy – the expectation on the part of individuals that a specific action, or set of actions, will lead to the outcome they want to accomplish, which, in turn, will give them what they value. (For instance, some employees may expect that performing beyond specified objectives will help them climb the career ladder quickly.)

Instrumentality – the processes used by individuals to achieve objectives. (For instance, individuals who are interested in rapidly advancing their careers may use two processes. Firstly, they seek to perform extremely well in their employment, with the expectation that this will ensure their rapid promotion. Secondly, this promotion is viewed as a mechanism for reaching a greater level of career.)

Furthermore, Mukherjee (2005:120) explains that the expectation theory indicates that motivation depends on the individuals' expectations of their capacity to execute duties and obtain the required benefits. The expectation theory does not define the requirements for attaining benefits but rather the method of thinking that people employ for this purpose. It is

based on the connection between individuals' effort and the anticipated reward. Mukherjee further points out that this theory seeks to establish that distinct requirements and benefits exist for each person.

### **2.3.3 Control Theory**

The control theory focuses on how feedback shapes people's behaviour. When people appreciate receiving feedback on their performance because it relates what they are doing to what is expected of them and, consequently, they can remedy any discrepancies (Armstrong, 2009:29). The control theory has been applied to a variety of behavioural phenomena, including feedback reactions and behavioural self-regulation (Caver and Scheiner, 1981; Cleveland and Murphy, 1999:150; Taylor et al., 1984). Cleveland and Murphy (1995:150) also support the earlier claim by Murphy et al. (1985) that this theory is applicable to a number of performance assessment events and, especially, to the issue of understanding how raters review their assessments of subordinates. Control theory indicates that this revision only happens when the distinction between prior and current results is significant enough to trigger a re-evaluation. According to Krausert (2009:16) Snell (1992) distinguishes between three kinds of control structures: behaviour, output and input control. Under behaviour control systems, employees' activities are directly assessed against predefined standards and rewarded or sanctioned accordingly. Behaviour control is the most immediate of the three types of control, allowing corrective action to be taken as soon as unacceptable behaviours are observed. Output control focuses on the performance outcomes that are assessed and rewarded or sanctioned accordingly and employees are allowed discretion in selecting and pursuing appropriate remedial task strategies. Behaviour and output control systems both seek extrinsic motivation. Extrinsically motivated employees display behaviours that they believe will achieve valued results, such as cash, authority and/or recognition. Input control system focuses on controlling the precursors of performance by investing into selection and training of employees to ensure the availability of necessary competencies (Krausert,2009:17). Furthermore, control theory helps to define the control agreements and, thus, the nature of the exchange relationship between the assessor and the employee (Krausert,2009:24).

### **2.3.4 Social Cognitive Theory**

This theory was developed by Bandura (1986) as cited by Armstrong (2009:29) who states that the theory is based on Bandura's central concept of self-efficacy. The theory suggests that what people believe they can or cannot do has a powerful impact on their performance. The most important objective in PM is to develop and strengthen employees' self-belief. Kandula (2010:18) contends that the theory claims that the excessive use of extrinsic incentives reduces the level of motivation. For instance, a higher level of compensation drives individuals to carry out operations that they may dislike, are uncomfortable with or are unsuited to their aptitude, however, compromise their inner worth for the sake of extrinsic benefits. The theory also claims that extrinsic and inherent motivators are not autonomous but dependent on each other.

### **2.3.5 Attribution Theory**

This theory is concerned with how people explain their performance and that their success or failure can be determined by factors such as ability, effort, task, difficulty, circumstances and/or luck. High motivation may follow if failure or success is explained in terms of effort, while loss of motivation may result if failure is explained in terms of task difficulty, adverse circumstances or bad luck. Armstrong (2009:40) maintains that inappropriate feedback can result in an incorrect attribution and, thus, managers have a major influence on employees' attribution and consequent motivation, and should discuss in a positive manner precisely why success or failure has occurred. On the other hand, Kelly (1973) as cited by Leornard and Cardy (2015:94) claims the attribution theory was developed to describe and understand how people make judgments about the cause of a particular kind of action.

The five theories described above explicitly explain the important role managers' feedback to employees in the PMDS. The key principle is that if employees know what they are expected to achieve in terms of their set tasks and objectives and how these goals are to be achieved, they are not only motivated to improve their personal performance but also that of the organisation as a whole.

## 2.4 The Process of Performance Management

According to Pulakos (2009:38) although the PM process differs between organisations, best practice studies and professional publications show that essentially all PM systems contain variations of the eight steps listed below.

- Step 1. Leaders set organisation, division and department goals.
- Step 2. Managers and employees set individual objectives and discuss behavioural expectations.
- Step 3. Managers and employees hold ongoing performance discussions.
- Step 4. Employees provide input on own perceptions of performance.
- Step 5. Knowledgeable rating sources provide input on employees' performance.
- Step 6. Managers rate performance.
- Step 7. Managers and employees hold formal review sessions.
- Step 8. HR makes decisions in terms of employees' pay, promotion and training.

PM is a communication process through which managers and subordinates work together to plan, monitor and evaluate the employees' job goals and their general organisational contributions. PM involves an ongoing process of setting goals, evaluating progress and offering continuing coaching, feedback and review sessions to guarantee that employee meet their work-related goals and career objectives. Bhattacharyya (2011:11) explains that the PM process influences the manner in which the PMS is applied within an organisation and involves a specific series of actions that are taken to accomplish the desired goals.

Bhattacharyya (2011:18) states that an organisation's PM process seeks to attain the following goals:

- Link the job efforts of employees to the vision, mission and goals of the organisation.
- Set clear performance expectations for providing employees with clear instructions on how they can attain their objectives. Performance expectations are a summary of results, actions and behaviours.
- Focus on the employees' efforts and eliminating wasteful activities, thus, guaranteeing that employees' knowledge and skills are used productively.
- Linking efficiency to career development to allow employees to realize how meeting and/or exceeding performance standards can help them develop within the organisation.
- Ensure performance monitoring involves coaching, feedback and flexibility so that employees' can develop their capacities.

- To make the evaluation of performance an ongoing process, although the frequency will rely on the nature of the organisation and the level of competition.

Bhattacharyya (2011:18) reiterates that PM process that is supported by appropriate planning, will mutually benefit both the organisation and employees. Deb (2008:46) in conjunction with Schneier, Beatty and Baird (1982) Bhattacharyya (2011:18) concurs that the PM process includes planning, managing, reviewing, rewarding and developing employees.

## **2.5 The Purpose of Performance Management System**

Pulakos (2009:20) argues that the PMS in many organisations is used as a foundation for making decision in relation to promoting employees, awarding bonuses and pay increases and reductions in force. She mentions that there are only few organisations who use the PMS to develop their employees and enhance their skills. She denounces the fact that many organisations use the PMS as a decision-making and employee development tool. She states that while both purposes have their benefits and challenges, the PMS should focus on establishing and promoting the goals and development situations within a given organisation. She elaborates by saying in order for a PMS to work effectively it should choose one specific purpose, either decision making or employee development or and then cultivate the system for that purpose. She suggests that it is wise for an organisation to use one purpose only to avoid having to discuss employees' development and making decisions simultaneously because this situation may cause difficulties to the employees and they will feel burdened as a result of having to engage in two formal review sessions for different purposes. She advises that in situations in which both purposes are involved, splitting the discussions relating to the two activities is the most productive strategy.

According to Furnham (2004:85) the following are the purposes that are best suited to the PMS: To improve work performance, managing merit pay, helping employees to understand work expectations, counselling employees, deciding when to promote and encourage employees, determining employee's potential, recognizing training needs, fostering suitable working relationships.

Scheir, Beatty and Baird (1982) as cited by Deb (2008:41), states that the purposes of PM as an organisational structure are as follows:

- Measuring and judging employees' performance,
- Connecting employees' performance to organisational goals and objectives,
- Promoting the expertise and development of employees,

- Stimulating employee motivation,
- Improving communication between managers and staff,
- Serving as the grounds for the judging awards and recognition,
- Serving as an instrument for organisational control and integration.

## **2.6 The Implementation of Performance Management System**

According to Pulakos (2009:103), the most difficult part of the PM system is implementation. Practices that can be used for this purpose are making sure there is sufficient support for the system and adequate leadership, ensuring all levels of staff understand the PMS and appreciate the organisation's reasons for implementing it and, lastly, developing effective ways of communication. Pulakos believes that in order for the PMS to be executed effectively, the first step is to develop PM tools and processes, once this is done, taking the following supplementary steps: (1) Automating the PMS, (2) Implementing an appeals process, (3) Pilot testing, (4) Training staff to use the PMS, (5) Evaluating the PMS and implementing improvements based on evaluation results.

### **These steps will be clarified further below:**

#### **Step 1 Automation of PM Processes**

According to Pulakos (2009:104) organisations have been trying to increase work efficiency and effectiveness from the early 1900s until the 1980s, during which time a total management approach was used. Pulakos believes that automation produces mainly positive results although there are some negative consequences. Automation minimizes the volume of work required because documents are accessed and completed electronically by different people within a 'paperless environment' because documents are stored online.

#### **Step 2 Implement an appeals process**

It is essential to include the appeals process in any PMS, because this provides the organisation an opportunity to both learn about and cope with future issues before it faces formal difficulties. The appeals process also improves employees' perceptions of the fairness of the PMS (Pulakos, 2009:111).



### Step 3 Pilot testing

Pilot testing can be used to ensure a successful permanent implementation, it involves the process of checking that the PMS is working effectively before it activated. It also provides useful information about whether managers and employees understand and support the process and whether further changes in terms of management and/or communication efforts are needed, (Pulakos, 2009:111).

### Step 4 Training employees and managers to use the PMS

The prior training of managers and employees is recommended to enhance their performance in the workplace. ‘Classroom’ training can be conducted during which employees are given an opportunity to interact with managers and trainers, ask questions and raise their concerns about the PMS and receive full answers. When an organisation devotes the time and resources required for large-scale classroom training, a specific message is sent to employees about the importance of the PMS (Pulakos, 2009:112).

### Step 5 Evaluating the PMS and implementing improvements based on evaluation results.

The PMSs should be evaluated and, if necessary, improved timeously. If data is stored in the PMS, evaluation measures can be determined and reviewed on a daily basis. When conducting evaluation, management must ensure that all employees have received proper training before the implementation of the PMS and that the PA ratings have been completed and signed by all relevant parties (employees, managers and members of the organisation’s HRM section (Pulakos, 2009:116).

A formal PM review must be used in order to assess quality, and a Senior Manager from the HRM section must review all employees’ evaluations to ensure that:

- Ratings are unbiased and a true reflection of the employee’s performance.
- All ratings are supported by explanatory comments.
- Both high and low ratings must be properly justified.
- Evaluation criteria must be applied systematically between supervisors and employees.
- Accurate distinctions must be made between employees, depending on their performance and contributions to the organisational objectives.

The consistency between evaluations and outcomes must be monitored especially if the PMS is used as a basis for salary increases, promotion or reductions in the workforce (Pulakos, 2009:116). Organisations can conduct surveys or focus groups periodically to find out whether

employees are satisfied with the PMS. Modifications can be made to those areas that employees consider less effective (Pulakos, 2009:117).

An effectively implemented PMS can benefit the organisation, managers and employees in several ways as depicted in Table 1 below:

**Table 1: Performance Management System Benefits**

Organisations benefits	improved organisational performance, employee retention, loyalty, improved productivity, overcoming the barriers to communication, clear accountability and cost advantages.
Manager's benefits	saves time and reduces conflict, ensures efficiency and consistency in performance
Employees benefits	clarifies employees' expectations, self-assessment opportunities clarify job accountability and contributes to improved performance, clearly defines career paths and promotes job satisfaction

**Source, Pulakos (2009:117)**

The supervisors and employees should sign a performance agreement, after which the areas agreed upon can be assessed (Erasmus et al 2005:285). The aim of PM is to define which activities are being conducted effectively and which are not being performed according to the set standards (Fischer,1995:18). A measuring tool should be established before any assessment takes place and made known to all employees, so that they are not taken by surprise at any stage during the assessment period. The performance assessment instrument should provide for the following information: personal details (such as surname, job title, probationer, or permanent employee), period under review, comments by the rated employee, PA details that include ratings, provisions for development, training, coaching and/or guidance, recommendations by rater/manager, comments by chairman of moderating committee, a decision by the institution and confirmation, extension and/or termination of probation, (Erasmus et al 2005:285).

Leonard & Hilgert (2007:383) agree with the above comments and state that most organisations use PA forms in order to facilitate the implementation of a uniform process. The HRM section develops the forms and then trains supervisors and subordinates in their use.

Performance reviews and annual PAs/evaluations are two methods that can be used to measure employees' performance. If employees have to complete too many appraisals at any one time, this can result in their being 'over managed', while an insufficient number of appraisals will be perceived by employees as a lack of personal recognition (Erasmus et al 2005:286). According to Casio (1993:294) and Fischer (1995:27) appraisals must be conducted continually in order to provide managers with accurate inputs in terms of employees' work status which they can use when making employment related decisions.

Performance reviews should be conducted annually on a quarterly basis because they provide employees with feedback on their workplace performance which enables them to recognise which areas needs improvement. All organisations are different and, thus, the format of performance reviews can differ but still contain similar information such as personal details, feedback on reviews and assessments of work plans (Erasmus et al 2005:286). Erasmus et al (2005:286-287) and Max & Bacal 2003) recommend the following a five-point rating scale for use in performance reviews:

**Table 2: Five-point scale**

Rating	Description	Score
4	represents performance significantly above expectations	score 100%-114%, 130%-149% – cash bonus of 5%-8% and 9%-12%.
3	represents fully effective performance	score 100%-114% – pay progression only 1%
2	represents performance that is not fully adequate	score 70%-99%
1	represents unacceptable performance	score 69% and lower

**Source, Erasmus et al (2005:287)**

Employees whose performance is significantly above expectations qualify for a cash bonus in terms of the incentive policy frameworks for public service employees in SA (DPSA:2018:7). Table 3 below presents the performance bonus scale for employees and managers.

**Table 3: Performance bonus scale**

<b>Financial Year (performance cycle)</b>	<b>Maximum % of Remuneration Budget</b>
2018-19	1.5 %
2019-20	0.75%
2020-21	0.5%
2021-22	0%
Post 2022	To be determined based on the comprehensive performance review of <u>all</u> PMDSs for <u>all</u> categories of employees

**Source; Incentive Policy Framework (2018:7)**

Employees rate themselves and add all the scores together to achieve the final score by using an assessment calculator. Fischer (1995:27) adds that although reviews are conducted on a quarterly basis, departments must complete PAs annually. Measuring performance by using the above methods will determine whether the employees are performing effectively and meeting their set objectives. Quarterly assessments should be conducted, measured and submitted timeously ensure fairness of the process. Both the supervisor and the subordinate must be familiar with the assessment instruments used.

According to Sandler and Keefe (2003), as quoted by Deb (2008:124-125), employees can be categorized into five classifications (i) superstar (ii) up and comer (iii) benchwarmer (iv) weak link (v) heading for the door.

- i. Superstar – individuals who provide excellent output. Their expertise, skills and behaviour are well above the work requirements and, thus, they deliver outstanding outcomes for the organisation. Such individuals are an asset and carry the organisation forward. The role of PA is to acknowledge, reward and maintain their talents for organisational achievement and efficiency.
- ii. Up and comer – individuals who are above-average employees who have the main expertise, skills, abilities and behaviours needed to achieve the organisation's goals and objectives. These individuals are prospective superstars and need to be retained in the organisation. The role of PA is to create such employees through a mixture of training, career development and mentoring.
- iii. Benchwarmer – these individuals are the average workers who adequately meet the demands of the job and generate quality outcomes for the organisation. They are able and willing to produce effective performance consistently to justify their presence in the organisation. The role of PA is to assist these employees through a mixture of

performance counselling, coaching and motivation to allow them to become up-and-coming and, ultimately, superstars.

- iv. Weak link – these are lower-than-average workers who are urgently need to enhance their efficiency and who currently do not satisfy their employment demands. Performance failure is likely owing to a lack of understanding, abilities and/or skills. The role of PA is to provide frequent performance advice, a well-developed and workable performance improvement action plan and management tracking to evaluate the progress such employees have made in their performance. If these employees do not enhance their performance in order to reach an acceptable level, they may be classified as ‘heading for the door’ individuals.
- v. Headed for the door – these individuals are extremely bad performers and demonstrate an unacceptable low level of performance. Despite countless support, advice and supervisory activities, these employees do not demonstrate any improvement in performance and, thus, are regarded as ‘deadwoods’. The role of PA is to justify their dismissal from the organisation on account of poor performance.

## **2.7 The Success of Performance Management and Development System**

Baldwin (2008:11) states that managers are responsible for supervising employees’ performance and it is unacceptable for them to ignore problems with statements such as ‘the employee has a negative attitude’ ‘... is not motivated’ and/or ‘... cannot do the job’. Managers must be competent PM practitioners who can deal with the vast majority of their subordinates’ performance problems.

Baldwin (2008:11) elaborates on the above by stating that managers’ responsibilities include:

- Explaining the specific job content, plus the expected performance outputs.
- Providing employees with information and opportunities for gaining ‘on-the-job’ experience.
- Training and coaching employees.
- Encouraging and controlling employees’ performance.

Baldwin (2008:11) also delineates employees’ responsibilities as follows:

- Accepting the manager’s description of the job.
- Being attentive and willing to learn.
- Willingly performing work for which training has been provided.

- Exercising self-discipline and meeting deadlines.

In order to be efficient employees must accept that engaging in the PMS is worth their time and be inspired to make use of the feedback it supplies. The success of PM also depends upon the attitude and involvement of top management, the stronger the leadership commitment, the greater system's achievements. The system will fail without management's assistance (Pulakos,2009:30).

Sahu (2007:25) also states that in order to improve performance, the PMS must be macro-managed by the overall management team and also on a personal level by each manager.

These are the features of an effective PMS that need to be incorporated into an organisational approach.

- Top management showing strong commitment.
- Participation by subordinates.
- Adequate training for all employees.
- Consistency of application.
- Strong line-manager commitment to regular recognition of good performance.
- Outcomes from performance review must be consistent with reward systems.

Sahu (2007:26) further states that all employees should be active in the process of setting goals for their future performance and in reviewing that performance. Many organisations are implementing the PMS without having any training for managers who are implementing the system – without such training the system would definitely fail. It is vital that workshops be held during which employees can discuss the PMS and learn some of the skills required for its successful operation. Organisations that spend time and money in educating their managers and staff reap the benefits during the implementation process of the PMS.

McMahon (2009) is in agreement with Sahu's views and adds that in order for a PMS to be effective it needs involvement from all stakeholders such as managers, employees, trade unions, shareholders and customers. A well-designed PMS can fail if it is not correctly implemented. Deb (2008:44) reiterates that the success of the PMS depends on the engagement and support of organisational management.

### 2.7.1 Satisfactory Performance

According to Erasmus et al (2005:290) increasing a salary annually by a certain percentage and giving performance bonuses and rewarding employees by ways other than cash payments are all methods of acknowledging good performance. Pay progression refers to an increase by a certain percentage annually if employees are fully effective. A specific 'score' policy is used for rating performance and if employees achieve this score or higher, they are entitled to a pay progression. Wright (2006:126) states that progression pay is frequently related to the assessment of employees' performance and the abilities and competencies they apply in the workplace. This claim is supported by Leonard & Hilgert (2007:399) who believes that if employees have performed above expectations, they should be rewarded and this compensation will motivate an even better performance.

There are certain cases in which employees' performance is linked with both individual goals and the organisation's strategic objectives without targets or performance indicators being set. This deficiency makes it difficult for managers to measure performance and also results in employees not knowing what is expected from them.

Wright (2006:136) claims that a performance bonus is a lump sum payment linked in some manner to performance outcomes, and that the payment of a bonus is related to the outputs of a team or company unit. Leonard & Hilgert (2007:400) defines a performance bonus as a compensation, other than a basic salary, that is granted to a worker for the achievement of employee or corporate goals. This compensation can take the form of unique cash awards, performance target bonuses, incentive bonuses and profit sharing.

In some organisations, regardless of whether employees are performing beyond expectations, they receive performance bonuses because they score themselves fours on the rating scale. In these instances, there are no job requirement targets set by the supervisors nor POEs supporting these high ratings. This situation raises questions regarding the implementation of the PMS and whether sufficient training regarding its operation and purpose were provided to managers and subordinates, or do employees merely perceive the PMS as a means of making money.

Leonard & Hilgert (2007:401) argue that departments can reward their employees without giving them money, for example they can arrange team building activities, expenses paid vacations and/or retirement benefits for above average performers. This form of reward system

is also supported by Perkins & White (2008:302) who claim that non-financial rewards will also show employees that their efforts are recognised, and, consequently, empower them to perform even better.

Managers can also reward highly performing employees by giving them more challenging tasks/duties that will increase their self-efficacy and boost their self-esteem. By having more responsibilities, employees can identify their position on their desired career-path. Some organisations repay excellent performance by releasing employees early on a particular day or by providing outside entertainment such as a braai. Erasmus et al (2005) also mentions that non-financial rewards are often a more creative way of recognising good performance. Deb (2008:50) however, states rewards need to be known and agreed upon by all stakeholders as part of the PMS implementation procedure because this practice promotes transparency and consistency within an organisation.

### **2.7.2 Unsatisfactory performance**

Poor performance requires action on the part of managers with the goal of enhancing and assisting the relevant employee. Erasmus (2005:290) states that if employees are not performing at work, corrective measures should be taken by the supervisor to assist them. They should be provided with counselling and helped to understand the performance standards required of them. The employees must be provided with appropriate training or if they have been trained previously, they must be retrained. Employees should be provided with conducive working facilities to enable improvement to take place but, if after the appropriate remedial interventions, they still fail to meet the required performance standards they can be dismissed (Erasmus et al 2005:290).

Sheridan (2007:110) claims that if employees are not performing to the set standards, their inefficiency can damage the organisation and, thus, it is important that managers know how to rectify the situation by putting corrective measures in place. Jackson & Schuler (2000) argue that if such remedial procedures are put into place and employees' performance still does not improve, they should be transferred to other sections or their contracts restructured or terminated.



It is clear from the above statements that the quoted researchers all agree that when employees are underperforming, remedial measures must be taken by supervisors to equip the employees to perform better by counselling and guiding them and/or developing plans and arranging appropriate training programmes for them. If despite all these curative interventions, employees continue to underperform, then, as stated above, they can be transferred to another section within the organisation or released from their duties.

## **2.8 Challenges on Performance Management and Development System**

As has already been mentioned in this chapter, it is the responsibility of both supervisors and subordinates to understand the work performance standards because without this knowledge, it will not be easy for either party to pinpoint unsatisfactory performance. PAs must be linked with the specific department's goals and targets need to be set for employees to enable them to understand the outputs expected of them.

Bacal (1998:20) explains that PM often fails because of one or more of the following reasons: confusion regarding the purpose, lack of executive commitment, management's desire for uniformity resulting in the bureaucratisation of the PM process, lack of resources and incentives for achieving above average performance, problems relating to setting standards and appraisal methods, unrealistic comparisons and lack of appropriate counselling and training. Many executives and top-level managers regard PM as a desirable process but not applicable to their positions or those of their immediate subordinates. They simply 'don't want to do it' with those employees who report directly to them. This attitude causes two problems, firstly, it sends a message throughout the organisation that PM does not need to be taken seriously; secondly, it ensures that subordinate managers are not held responsible for their employees' lack of commitment to performance leadership because it is not part of their own goals and performance standards.

When PM is introduced throughout a whole department or division, there is a tendency to expect that it will be applied consistently across all job classifications and job functions. PM should be seen as a tool used to benefit the employee and the organisation (represented by the manager). It is, above all, an interpersonal process and its success stems from the ability of managers and employees to generate a common understanding of expectations. By standardising PM across people, job tasks and classifications, managers and employees are

limited in terms of finding the best way to manage the employees' individual performances. An excellent manager will develop a specific, and often informal, approach to PM that works for him/her and the employee and only superficially meets the requirements of the department. The term 'bureaucratisation of the PM process' (mentioned above), refers to a situation in which PM becomes an 'empty paper' that merely creates exercise in order to meet the requirements of the HRM department. When managers and employees are just given forms to complete without understanding the purpose of PM, they tend to treat the process as one that meets someone else's needs. They comply with the minimum paper requirements which are not enough to improve performance and rarely result in meaningful rewards for employees. This situation is exacerbated in times of economic restraint when managers have little to offer employees due to a lack of development resources, promotion options and a viable performance related pay system (Bacal,1998:21).

While organisations may vary in their use of merit based salary increases, many automatic pay scale increments still exist. Employees expect and usually receive such increases unless their behaviour violates workplace protocols. As such, normal increments have no incentive value because these automatic increases are part of the *status quo* and, consequently, are perceived as an employee's right. In addition to the current absence of training and development funds and the, subsequent, absence of career possibilities in the government service or other industries in SA, as mentioned managers have few ways of rewarding favourable performance. This scenario results in staff looking at PAs holding a good deal of danger, with very little prospect of reward. This colours the process and creates an adverse, protective tone for PA (Bacal,1998:22).

PM requires the implementation of extremely advanced interpersonal and communication skills and the capacity to create appropriate performance standards. Very few individuals who set performance standards have the requisite level of knowledge for this task. Consequently, the requirements for effective employment are forced into objective descriptions or they are vaguely stated, neither of which serves the purpose for which they were compiled. A major reason for the failure of PM is the misuse of appraisal reporting techniques. Managers want a fast and simple way of summarizing performance outputs so that the PA can be quickly finished and sent to the HRM department. This requirement results in appraisal instruments that are more likely to give rise to worker hostility than to staff enhancement. Typically, managers assess employees as average, below average or above average while others will use a numeric

scale. Some managers measure performance by comparing employees to their colleagues. From the above comments, it is obvious that executives, managers and employers need comprehensive training if the PMS is to function effectively, and, in most organisations, there is rarely sufficient executive commitment PM to ensure that adequate resources are allocated for this purpose (Bacal,1998:23).

Pulakos (2009:66-67) describes some of the common rating errors managers make when evaluating performance as follows.

Halo effect – this occurs when the manager’s overall impression of the employee influences all the performance ratings. For instance, if the manager feels that the employee is a good performer overall, this generalisation will result in the worker being rated high in all categories. In order to prevent this mistake, it is essential for managers to bear in mind that employees do not perform at precisely the same level in all the performance rating areas.

Single Time Error – this happens when scores fail to represent typical performances and are based on only a few performance cases. An employee might perform one activity really well or really badly, causing the manager to give a higher or lower score than he would have done without this specific example. It is essential that the scores represent the typical performance of the employee throughout the rating period and are not overly affected by a single performance case. An exception to this general rule could be made if a specific action by an employee has such adverse implications that it overturns all other efficient performances.

Stereotype Error: – this occurs when raters allow stereotypes to influence their ratings. For instance, a workers’ age, education or gender may predispose managers to believe that they will perform well in some fields and less well in others. It is essential that raters do not allow preconceived stereotypes to affect their perceptions of employees’ ability or potential to perform a task. Managers must be open minded in terms of employees’ performances and need to base their ratings on the practical results rather than on their subjective impressions of employees’ strengths and weaknesses.

Leniency/Severity Error: – some managers are ‘lenient raters’ who over rate all their employees, while others are ‘serious raters’ who under rate them regardless of the employees’ actual performances. Managers can overcome leniency or severity by comparing employees’

performances with rating standards. If a five-point rating scale is used correctly, the most common rating should be a three, which indicates that the employee completely meets the work expectations.

## **2.9 Summary of the chapter**

This chapter focused on reviewing relevant PM literature and examined what theorists and researchers said about the implementation of PMS and its effectiveness. Most of the reviewed scholars expressed similar views but there were a few who criticised both the PM (performance management) and PA (performance appraisal) processes. One of the objectives of this research study was to review the existing literature in order to identify key principles and elements for a successful implementation of PMDS in the public sector. The theories that underpin performance management were found to be of most great value for this study and emphasised that in order for a PMS (performance management system) to be successful, it must be implemented correctly from the start with the support of top management. If managers and employees are not involved or properly trained before its implementation the PMS is doomed to failure and both supervisors and subordinates have a responsibility to work together for the success of the system. A PMS must be implemented correctly if it is to achieve its aim of improving service delivery.

The literary review clearly indicates that it is vital for employers and employees to ensure that performance agreements are linked to the objectives of the organisation, completed annually and submitted timeously to the organisation's HRM section. The researchers believe that employees must familiarise themselves with the vision, mission and strategic goals of the organisation and its various departments. In addition, managers must set targets and monitor the performance of their subordinates on a daily basis and so that it can be immediately identified when they are underperforming. Unsatisfactory performance by employees needs to be noted and corrective measures put in place, such as training programmes and workshops. Supervisors and subordinates are responsible for ensuring the effective implementation of the PMS. The reviewed literature indicates that employees' good performance must be rewarded either by cash incentives, allocating more challenging tasks to employees to build their self-esteem and self-efficacy and/or by giving them time off.

Furthermore, the reviewed material recorded various rating errors that adversely affect the PMDS, such as when managers rate the employees based on subjective beliefs instead of

performance, for example scoring employees in terms of age, education or gender because these categories provide expectations about their performance of certain tasks, or scoring employees high in all the areas because they have performed well in one specific area.

The importance of theories that underpin PMDS was discussed, such as the goal setting theory, social cognitive theory, control theory and attribution theory. Concepts relating to PM were explored and a clear indication what these concepts entailed was provided in order to add more emphasis to this particular study.

A wide range of sources was analysed, assessed and discussed but one study in particular was found to of particular pertinence for this research study and this relates to the difficulties of effectively implementing the PMDS as expressed by (Pulakos, 2009:103-116). Pulakos believes that only if tools and processes are in order, will the implementation be effective. She also indicates that a successful PMDS can benefit the organisation. Furthermore, Pulakos has highlighted the errors managers make when rating subordinates, such as the halo effect, the stereotype error, the leniency error and the single time error. These rating errors can cause major financial problems for both the department and the organisation as a whole, and if managers rate their employees according to certain criteria rather than actual performance this will cause a drawback in terms of organisational performance.

The researcher accepts that implementing the PMDS is challenging in most government departments in SA. In addition, managers and employees are often hesitant about conducting assessments, hence the continual late submissions of PAs by supervisors. Unfortunately, PAs must be conducted on a regular basis and the researcher hopes that with the help of the views from academics expressed in this chapter, together with the findings of this research study, these problems can be identified and organisations and government departments will be better equipped to implement an effective PMDS, which will enhance the performance of the organisation and its employees.

The next chapter will discuss the regulatory and legislative framework that governs the PMDS in the ECDoE. Information will be gathered on its implementation and relevant policies and guidelines will be examined.

## Chapter 3 - Legislative Framework

### 3.1 Introduction

This chapter addresses the legislative framework and regulations that govern the PMDS operating in the ECDoE. The legislative framework gives clarity on how laws, policies, guidelines, regulations and systems should be implemented in the workplace. As previously indicated, the DoE is entrusted with providing access to education for all learners, including those needing adult basic education. In SA, education is a human right constituted under section 29 of the Constitution of the RSA, and, therefore, must be made accessible to all who need and/or desire it (RSA;1996: s29). In order for this right to be enacted, there are people who facilitates the administration in the DoE and their performances need to be monitored and managed hence the implementation of the PMDS in the ECDoE. The ECDoE prides itself on having the necessary vision to provide learners with opportunities to become productive and responsible citizens through quality education. The DoE's mission is to institutionalise a culture of accountability at all levels in order to achieve this vision. By managing performance, the DoE hopes to ensure the accountability of all employees for their performance. The ECDoE operates according to the eight concepts related to the eight letters in the word education, namely **E**mpathy, **D**ignity, **U**nity, **C**onfidence, **A**ccess, **T**rust, **I**ntegrity, **O**wnership and **N**ation. The ECDoE operates under the auspices of the Eastern Cape Provincial Administration (ECPA) that requires the Eastern Cape PMDS to abide by the following principles, (ECPA, 2018:16):

- The PMDS shall be administered in a standardised manner in all departments and shall extend to all employees.
- The PMDS is fundamentally developmental in nature and, as such, is not a punitive instrument. Integral to the PMDS is a mechanism for improving bad performance
- The primary goal of the PMDS is to enhance the delivery of services through improved PM.
- The alignment of provincial policies and departmental plans is the basis on which the PMDS is adopted, implemented and managed.

It is evident that PMDS is a compulsory requirement within the various government departments. Once departments have implemented this system, they have the responsibility of ensuring that it enhances service delivery by putting mechanisms in place to improve bad

performance. The researcher has recently found out that ECDoE does not have its own PMDS policy in place, however it utilises the Provincial PMDS policy.

### **3.2 Constitution of the Republic of South Africa, 1996**

Prior to 1994, the constitutional frameworks that were used to govern the public service were centralised and highly regulated, resulting in a bureaucratic and unresponsive public service system which lacked transparency and accountability. In order to modernise the public service to meet these needs of the recently instituted democratic government, new policy frameworks had to be developed. These frameworks sought to empower managers to take decisions by decentralising decision-making within broad policy frameworks. These frameworks are inclusive to the SA Constitution which stipulates that the public service must be governed by democratic doctrines and values (RSA,1996: s195) which include the following nine (9) principles:

- Encourage and maintain a high level of professional ethics.
- The efficient, economic and effective use of resources should be encouraged.
- Development should be geared towards public administration
- Services should be provided impartially.
- People's needs should be responded to and the general public should be encouraged to participate in policy making.
- Public administration should be accountable.
- Transparency should be encouraged by offering affordable and precise information timeously to the public.
- Good HRM and development of career practices should be developed to maximize human potential.
- Public administration should be widely representative of the people of South Africa, with employment and staff procedures based on capacity, objectivity, fairness and the need to correct previous imbalances.

Principle number eight states that good HRM should be developed by the public service. Within ECDoE the role of the HRM is to ensure that a PMDS is implemented effectively and it widely understood and accepted by all participants within the organisation. HRM should ensure that policies that govern the PMDS are available to all participants. Performance in the organisation must be monitored precisely and unsatisfactory performances must be addressed and measures taken to improve individual performances. Improving employees' performance

will simultaneously enhance the organisation's performance and result in greater productivity within the organisation. Compliance with the principles of the constitution mentioned above will ensure the efficient utilisation of government resources, while the accountability of the public administration will guarantee the provision of services that will meet the needs of the general public.

### **3.3 Public Service Act, 1994**

The Public Service Act of 1994 includes the public service regulations that are applicable to most public service departments. This act foresees an alignment between the conditions of service applicable to the public service, including the terms of office, discipline, retirement and discharge of its members. This act also applies to prospective employees, people who were public service employees and public servants that are employed abroad.

The Public Service Act acknowledges the functions and powers of a Public Service Commission which has the power to make any recommendations or to give directions on all matters relating to or arising from employment and the conditions of service of employees (RSA,1994: s3). The commissioner can make recommendations on matters such as the establishment of sub-departments, including the abolishment of the aid sub-departments, branches or offices; the control and readjustment of departments and sub-departments with regard to the number of persons to be employed, whether on a special contract or temporarily on a short term or full-time capacity.

The said Public Service Act 3 (3) (g) states that the Public Service Commission can make recommendations in order to promote effectiveness and efficiency that affect economies in the management and functioning of departments, sub-departments, branches, offices and institutions by:

- Improving organisation, procedure and methods
- Improving supervision
- Simplifying work and eliminating unnecessary work
- Utilising information technology
- Co-ordinating work
- Limiting the number of officers and employees in departments and utilising their services to the best advantage



- Training officers and employees
- Improving work facilities
- Promoting sound labour relations

All the above recommendations have a major impact on the performance of departmental employees. If their work is coordinated, employees are able to identify their roles and responsibilities. In addition, if they have sufficient resources, such as office space, working tools, appropriate training and know exactly what is expected of them, they will perform to their maximum potential.

The Public Service Act 7 (3) (b) also states that there must be a head of department for each government department who is responsible for the efficient management and administration of that department, including the effective training and utilisation of staff, maintaining discipline, and promoting sound labour relations and the appropriate use and care of state property and resources RSA (1994:7).

This act further states that each appointment, promotion and transfer of staff must be made on a probationary basis by the executive authority or delegated official (RSA,1994:13). This probation period must not be less than twelve months. The appointment of an employee on a permanent basis in any department depends entirely on his or her performance and conduct. The Public Service Act 13(3) provides that if the Head of the Department or the assigned official certifies that, during the time of probation, the officer or employee concerned has been diligent and that his / her conduct is consistently satisfactory, he / she is in all respects suitable for the post he / she holds and has complied with all the conditions under which he / she is appointed, transferred or promoted, the person having the power to make appointment, transfer or promotion concerned, may confirm that appointment, transfer or promotion. However, if the probationary appointment, transfer or promotion is not confirmed, the head of department or delegated official must report the reasons for non-confirmation. An officer serving on probation can be discharged from the public service by a person with the power of discharge, either before, at or after the expiry of the probationary period, by giving the employee a one-month written notice if his or her behavior or performance is unsatisfactory.

Section 19 of the Public Service Act further states that if the head of department who is responsible for signing a workplan agreement is not functioning according to the organisational goals and objectives, he/she shall be reported to the Premier of the province who, in turn, will appoint a person to enquire about the unsatisfactory conduct (RSA, 1994: s19).

It is clear that the Public Service Commission and the Head of Department have a responsibility of ensuring that the conditions of service are met in all departments. Furthermore, it is advised that if their performance is poor, employees can be dismissed, in accordance with the Labour Relations Act (RSA, 1995: s185).

### **3.4 Public Service Regulations**

The Public Service Regulations (2001:38) set out principles that are guided by the principles of the SA Constitution on how public administration can enforce and handle PM processes. Firstly, departments must handle the performance of workers in a consultative, supportive and non-discriminatory manner in order to increase organisational productivity and effectiveness, accountability for the use of resources and the achievement of results. Secondly, PM processes should link to a broad and coherent staff development plan and comply with the department's strategic goals. Thirdly, the departments should implement the primary orientation responses for recognising both outstanding performances and consistently inadequate performances. Lastly, PM procedures should minimise supervisors' administrative burden while maintaining transparency and lack of bias.

Section 11 of the public service regulations requires that public service employees comply with the SA Constitution and any other relevant laws in the execution of their duties. It further states that employees must put the interests of the public first when performing their duties on daily basis applying the government lawful policies. They must both familiarise themselves with, and abide by, and all lawful directives applicable to their official duties and conduct. Section 12 of these said regulations further states that employees should strive to promote the unity and wellbeing of the South African nation when performing their duties and serve the public in an unbiased manner. According to this regulation, employees have an important role to play as public servants which includes delivering services to the public in an unbiased manner, therefore, they should abide by the various policies and laws, including the PMDS's policies

that govern all government departments. Moreover, Section 14 of the said act instructs employees to cost effectively achieve the objectives of their department by being creative when performing their duties and seeking innovative ways to solve their problems and enhance effectiveness and efficiency within the context of the law. Employees must be punctual, professional, competent, cooperate fully with other employees and avail themselves for training and development in order to enhance organisational performance (RSA, 2016: s11, s12, s14).

Section 35 of the public service regulations says that an executive authority in the department shall conduct an assessment to investigate the effectiveness of the PMDS and report to the Minister in charge of the public service. It is imperative that the PMDS is assessed to check its effectiveness.

Section 71 states that an executive authority shall approve and implement a PMS in the various government departments. The system should provide for

- Dimensions of assessment
- The weighting of key performance areas and the competence requirements to monitor the performance of employees on a quarterly basis and to supply verbal feedback if their performance is satisfactory and written feedback if it is unsatisfactory.
- Both a written mid-cycle and an annual performance assessment of employees' performance. The annual assessment will represent employees' efficiency throughout the entire duration of the cycle.
- Arrangements and structures for performance moderation to guarantee equity and consistency in the implementation of the employee PMS.

Section 72 of the said regulations states that employees shall enter into a performance agreement which includes a personal development plan that identifies the employees' competency and developmental needs and also a workplan containing the activities and required outputs and resources. Section 73 of these regulations states that good performance must be rewarded and non-financial rewards introduced. Section 77 says that in order to enhance the department's work performance, its Head may grant financial or other assistance for any study, training or research employees undertake, either on the advice of the department or their own initiative, providing such study, training or research is relevant to the skills needed by their employer.

The Public Service Regulations (2001:38) state that employees should conduct themselves in a respectable way and, in order to ensure their accountability to the public, a PMDS should be implemented by executive authorities in each department to monitor and assess employees' performance. These regulations further stress the importance of the department entering into a PM agreement with employees who will not receive incentives if they fail to commit to this contract.

### **3.5 The White Paper on the Transformation of the Public Service, 1995**

According to the White Paper on the transformation of the public service (RSA,1995:6), the SA government anticipates a public service that:

- is guided by an ethos of service and committed to providing services of excellent quality to all South Africans in an unbiased manner;
- addresses growth and poverty reduction;
- focuses on the enforcement of fair labour practices for all public service workers, regardless of race, age, gender, disability or class;
- committed to the efficient training and career development of all employees;
- goal and performance driven, reliable and cost-effective;
- integrated, coordinated and decentralised;
- consultative and democratic in its internal procedures and interactions with the public;
- open to popular participation, transparent, honest and accountable;
- respectful of the rule of law, the SA Constitution and the Government of the day;

The above White Paper emphasises HRM and development that is designed to promote participative management and innovation in order to build capacity and reward individual and team success through the implementation of appraisal and incentive systems (RSA, 1995:14). The DoE provides services directly to the public, as highlighted by the White Paper (RSA, 1995:4), so it is imperative that the performance of its employees is measured, together with the implementation of appraisal and incentive systems, to ensure effective service delivery. In order to sustain a transformed public service, the said White Paper further encourages the formulation of performance related policies, goal setting, performance indicators, objectives and targets. Performance indicators will be designed and used to provide an accurate assessment of employees' progress towards achieving these objectives and targets and to identify those areas where change or corrective action is needed (RSA, 1995:17). These policy objectives and targets will be implemented through the setting of appropriate, specific and

measurable objectives, the design and implementation of detailed strategies and action plans to achieve them, mobilisation and efficient use of the necessary resources, identification of challenges and limitations and methods to resolve them and the implementation of effective systems for internal and external monitoring and review (RSA, 1995:17). The development of these particular systems is essential to the organisational transformation process and thus the creation of performance auditing and appraisal instruments will be an important part of the process. The White Paper further indicates that government departments must implement a strategic framework for HR development which entails a number of related elements, including multi-purpose training and education in the public service (RSA, 1995:53). Firstly, training can help to provide all public servants with the necessary knowledge, skills and competencies to carry out their work effectively in pursuit of the transformed public service. These skills and competencies will combine occupational, technical and professional attributes and also contribute to problem-solving, creativity and governance, allowing all public servants to take advantage of new opportunities for transparent and participatory management, team building and decision-making. Secondly, training will increase the representativeness of the public service. Thirdly, training will allow officials to re-position many of the principles and practices they learned under the previous dispensation, thus, enabling them to acquire a growth-oriented professionalism, together with a new work ethic, knowledge and skills for the implementation of the RDP. Fourthly, properly designed and structured training will provide employees with a powerful tool for predicting and promoting the implementation of institutional changes within the public service. Finally, effective training can help public servants to develop a better understanding of the needs of the communities they serve and to acquire the capacity to respond to those needs. Training, therefore, should be used to rapidly foster a new civic consciousness among public servants and to develop new knowledge and skills that can be applied to the development of a community-oriented public sector (RSA, 1995:53).

### **3.6 The White Paper on the Human Resource Management in the Public Service, 1997**

The White Paper on the HRM in the Public Service (RSA, 1997: 9) sets policy initiatives that underpin constitutional principles to achieve a fundamental change in management from a centrally regulated, process-driven public service to a service that:

- represents all the people of South Africa;
- treats all public servants as valuable resources;
- focuses on service delivery outcomes;

- assigns management responsibility for the results and the resources used to achieve them to the lowest possible level;
- holds public servants accountable for their actions.

The above principles represent a shift through which the organisation moves away from personnel administration to HRM. The White Paper (RSA, 1997: 5) promotes the development of departmental/provincial policies within the parameters of the national policies. It also quotes the values that are derived from the Constitution which will underpin HRM in the public service, which comprise fairness, equity, transparency, accountability, accessibility, participation and professionalism (RSA, 1997:10). The researcher is of the opinion that these values should be applied to PMDS because this system should be fair to everyone in the department, moreover it needs to be transparent and accessible to all employees who must participate with professionalism.

This paper further states that employees' performance will be assessed at least once a year. The assessment process will be in line with the mutually agreed objectives aimed at recognising their strengths and weaknesses in order to reward good performances and mitigate poor ones (RSA, 1997:10).

According to the White Paper on the HRM (RSA,1997:42) the success of the public service in meeting its operational and development objectives depends primarily on the efficiency and effectiveness with which employees carry out their duties. PM, therefore, is a primary HRM tool to ensure that:

- Employees know what is expected of them.
- Managers know whether the employees' performance meets the required goals.
- Poor performance is identified and improved.
- Good performance is acknowledged and rewarded.

PM, therefore, is an integral part of an effective HRM and development strategy. It is a continuous process in which employees and employers work together continuously to enhance the individual performance of employees and their contribution to the overall goals of the organisation. To achieve this objective, it is imperative that the performance of each employee is well managed (RSA, 1997:42).

The said White Paper on the HRM within the public service (RSA,1997) also requires the following principles to be applied during in the implementation of the PMS.

### **3.6.1. The Principles to be Followed in the Implementation of a PMS in the Public Sector**

The PMS should:

#### **3.6.1.1 Be Results Orientated**

The employee and the employer should together draft a work plan stating clearly the objectives to be achieved and highlighting their responsibilities. The set objectives should be expressed as outputs to be delivered and include personal development and operational objectives (RSA, 1997:42).

#### **3.6.1.2 Include Training and Development Plans**

The PM process will identify areas in which employees are not performing well so that training interventions can be arranged to assist the employees (RSA, 1997:42).

#### **3.6.1.3 Reward Good Performance**

Those employees who dedicate themselves to work and achieve good results must be recognised and rewarded. This practice encourages them to maintain the high standard they have achieved and motivates others to do well. The reward can be in the form of increased pay based on their performance (RSA, 1997:43).

#### **3.6.1.4 Manage Poor Performance**

The employee and their managers must mutually agree on the steps that should be taken to improve the employees' performance, and may include their being coached and/or retrained (RSA, 1997:42).

#### **3.6.1.5 Exhibit Openness, Fairness and Objectivity**

A copy of the written assessment should be given to employees who will be a given an opportunity to comment on the assessment. If employees are not satisfied with the assessment, they have the right to appeal against it (RSA, 1997:42).

The White Paper on the HRM in the public service (RSA, 1997) states that all employees in a department must be assessed every year against the set objectives. The process of assessment

must be aimed at identifying the strengths and weaknesses so that good performance can be recognised and rewarded and poor performance must be recognised and properly managed.

### **3.7 The White Paper on Transforming Public Service Delivery - Batho Pele, 1997**

This paper focuses primarily on the provision of public services and, in general, on improving the efficiency and effectiveness of the delivery of these services by utilising the eight principles of Batho Pele. These eight principles that are used to ensure the quality of service delivered to the citizens include consultation, service standards, access, redress, information, courtesy, value for money and transparency (RSA, 1997:9).

The said White Paper requires departments to identify service standards, establish outputs and goals, benchmark performance indicators to comparable international standards and also expects the formulation of monitoring and evaluation mechanisms and structures that are designed to measure progress and to take corrective action where appropriate (RSA, 1997:10). This legislation further specifies that in order to ensure that service delivery is continuously improved, National and Provincial government departments are required to delineate their specific short, medium and long-term goals for service provision. They must also set annual and five-year goals for the delivery of specific services and report on their progress to their respective National and Provincial Legislatures (RSA, 1997:11).

The White Paper (RSA, 1997:19) specifies that employees interacting with customers must be monitored regularly and performances that falls below the specified standards should not be tolerated. Service delivery and customer care must be included in all future training programmes, and additional training should be given to employees who deal directly with the public, either face-to-face, in writing or via the telephone. National and Provincial governments must provide full, accurate and up-to-date information on the services they offer and who is entitled to them. It is crucial that PM practices include an assessment of how the individual employee's performance helps to improve customer service. In addition, the contributions of employees (both as individuals and groups) who perform well in the delivery of customer service should be recognised and appropriately rewarded (RSA, 1997:23).



### 3.8 Labour Relations Act, 1995

All employees of the DoE are expected to enter into a workplan agreement. Section 78 of the Labour Relations Act (1995) identifies an “employee as any person who is employed in the workplace, except Senior Managerial employees whose contract of employment or status confers the authority to represent the employer in dealings with the workplace forum or determine policy and take decisions on behalf of the employer that may be in conflict with the representation of employees in the workplace” ... (RSA (1995: s 78).

In order to represent employees, the Labour Relations Act (1995: s 80) enforces the government to establish workplace forums in situations in which more than a hundred people are employed in the organisation. The role of the workplace forums is to represent employees’ concerns to their employer in terms of such matters as reviewing criteria for merit increases or the payment of discretionary bonuses, education and training and job grading. They must promote the interests of all employees in the workplace whether or not they are trade union members and also seek to enhance efficiency in the workplace.

All employees are expected to enter into a workplan agreement, which according to the ECPA’s policy, reflects the linking of an individual workplan to the organisational goals and provides an analysis of what will be required to achieve effective performance (ECPA, 2018:22). When employees enter into a workplan agreement with their supervisor, they bind themselves to deliver according to the signed workplan agreement. The employees’ contracts can be terminated by the employer if their performance is not satisfactory, provided that certain steps have been taken by the employer to improve the performance such as providing remedial training. The Labour Relations’ Code of Good Practice 8 (1) states that an employer must put a newly hired employee on probation before the employee’s appointment is confirmed. This act also says that the purpose of probation is to give the employer an opportunity to evaluate the employee’s performance before confirming the appointment. The code also states that the probation period should be determined in advance and must be of a reasonable duration in relation to the nature of the job. The code further states that during the period of probation, the employee should be assessed.

The employer has the responsibility for giving employees reasonable evaluation, training, instruction, guidance and counselling to enable the employee to render a satisfactory service. If the employer has identified that employees’ performance is below standard, employers

should advise them of any aspects that are considered to be failing to meet the required performance standards. In this situation, the employer can either extend the probation period for a reason that is related to the purpose of probation or, alternatively dismiss the employees after having advised them of their right to refer the matter to the council having jurisdiction over such matters.

The Code of Good Practice 8(2) argues that after confirmation of probation, employees should not be dismissed for unsatisfactory performance unless the employer has given them appropriate evaluation, instruction, training, guidance or counselling and, after a reasonable period of time for improvement, the employees continue to perform unsatisfactorily. This code further advises that an investigation should be lodged to establish the reasons for the unsatisfactory performance and the employer should also consider other ways to remedy the matter. At the same time employee have the right to be heard and represented by a trade union representative of their choice.

Furthermore, the Labour Relations Act states that employees' contracts can be terminated due to poor performance but that they have the right not to be unfairly dismissed or subjected to unfair labour practices (RSA, 1995: s185).

The said Labour Relations Act's Code of Good Practice 9 states that any person determining whether a dismissal for poor work performance is unfair should consider the following points:

- a. whether the employee failed to meet a performance standard;
- b. and if the employee did not meet a required performance standard;
  - i. whether the employee was aware, or could reasonably be expected to have been aware of the required performance standard;
  - ii. the employee was given a fair opportunity to meet the required performance standard; and
  - iii. dismissal was an appropriate sanction for not meeting the required performance standard.

This act also establishes a bargaining council for the public service as a whole which is known as the Public Service Coordinating Bargaining Council (the PSCBC). The PSCBC has an overarching jurisdiction because it may perform all the functions of a bargaining council in respect of those matters that are regulated by uniform rules, norms and standards that apply throughout the public service and apply to terms and conditions of service that pertain to all

sections of the public service. Every year employees are expected to submit a performance agreement to the HR department, together with their PAs. These PAs ultimately are used to give incentives to the qualifying employees.

Each year, employees are evaluated and if their performance is satisfactory, they are given a 1 per cent pay progression which is effective at the beginning of each financial year. Every three years the employer (the SA government) offers a certain percentage as an increment to the public servants, this increment is tabled to the public servants and their unions, and if there is no collective agreement regarding the percentage offered by the employer, the bargaining council, acting on behalf of employees, expresses their concerns and requests and bargains until mutual agreement is reached.

### **3.9 Summary of the Chapter**

One of the research objectives for this research study was to review the acts, regulations and legislative frameworks that are applicable to PMDS in the public sector in order to understand the policies that inform PMDS. This chapter has focused on the various legislative frameworks that govern the public service in SA, including the RSA Constitution, the White Paper on the HRM in the Public Service, the White Paper on the Transformation of the Public Service, the White Paper on the Transformation of Public Service-Batho Pele, the Public Service Act, the Public Service Regulations, the ECPA PMDS policy and the Labour Relations Act. They are all legislative frameworks that relate to the governing PM in the public service. The public sector has to abide by these frameworks in order to perform PMS that is effective and efficient. These frameworks share the same view in terms of the PM of employees in the public sector. They also state that employees' performance must be managed precisely with the aim of improving service delivery and in cases of employees' underperformance or non-performance, training should be provided in order to improve productivity and enhance service delivery. These documents further state that service standards must be set by departments and then publicised to allow the public to know if the promised services are actually being delivered. The key principles to be followed for a successful implementation of PMS in the public sector were identified, such as a PMS should give results, training and development plans should be set, good performance should be rewarded, poor performance should be managed, openness, fairness, objectivity should be maintained (RSA:1997). These principles will be

compared to the empirical data gathered to inform findings and recommendations for the ECDoE.

The next chapter will discuss the design, methodology, research instruments used to collect data and the sampling methods employed in this research study. It will also discuss, analyse and interpret the findings of this study.

## Chapter 4 - Data Analysis and Research Results

### 4.1 Introduction

This chapter discusses the data collection methods that were used in this research project. These methods are inclusive of research design, research methodology, research instrument, sampling and also extensively analyses the collected data. The purpose of this research was to explore the PMDS implemented by the ECDoE with the aim of responding to the questions the researcher posed to establish the research objectives. To enable the collection of data, an online survey, in a form of a questionnaire, was developed and the respondents were requested to answer the questions that were posed to them. Through this process, the research project fully met its purpose. The posed questions were divided into the following sections: Section A dealt with participants' biographical information and their knowledge of the PMDS; Section B dealt with monitoring and feedback and the implementation of the system; Section C focused on the submission of performance agreements and appraisals and Section D focused on the rating of employees within the ECDoE. Through the analysis of the responses to the questions in all four sections, the researcher sought to explicitly elucidate the objectives of this study. According to Bradburn, Sudman & Wansink (2004:20) "a research question defines the purposes of the study and is a touchstone against which decisions are made out about the specific individual questions to be included in the questionnaire." Cresswell (2009:132) states that "quantitative research questions enquire about the variables that the investigator seeks to know." Based upon these two statements, the researched identified the variables to be analysed for the purpose of achieving the following set objectives:

- To describe the policy framework that is governing PMDS in the ECDoE.
- To establish if the payment of incentives or bonuses is informed by the overall organisational performance of the ECDoE.
- To seek to discover the perceptions of the ECDoE' employees concerning the implemented PMDS.
- To determine if performance agreements and performance appraisals (PAs) were submitted timeously to the members of the ECDoE.
- To review the acts, regulations and legislative frameworks that are applicable to PMDS in the public sector.
- To review existing literature to be able to identify key principles and elements for a successful implementation of PMDS.

## 4.2 The Research Design and Methodology Used in the Study

Mouton (2001:55) and Cresswell (2009:5) define a research design as a plan or blueprint of how the researcher intends to conduct the research. Marczyk, DeMatteo and Festinger (2005:22) state that a research design refers to the many ways in which research can be conducted to answer the questions being asked. In order to answer the questions that were addressed in this research project, a quantitative research design was used with qualitative questions within the quantitative research design. The qualitative questions were open ended questions that aimed to give participants a chance to express their views openly.

According to Marczyk, DeMatteo and Festinger (2005:17) statistical analysis is used to obtain the research findings. Cresswell (2009:4) further adds that a quantitative design is a means for testing objective theories by examining the relationship between variables which can be measured by instruments that will facilitate the analyses of the numerical data using statistical measures. Based upon the explanations of the above theorists, the researcher chose the non-experimental design (such as an online survey) as the strategy of inquiry.

According to Brown (2001) as cited by Gass and Mackey (2005:91) questionnaires or surveys are written instruments comprised of a set of questions or statements that is sent to the study participants who are expected to respond by supplying their own answers or selecting from the given answer choices. Gass and Mackey (2005:91) state that a survey, typically in a form of a questionnaire, is one of the most common methods used for collecting data from a large group of participants that expresses their attitudes, beliefs and opinions about their behaviour and experiences. Surveys rely on asking participants standardised questions that can be analysed statistically (Leavy, 2017:101).

When designing checkbox survey used in the research study, careful consideration was given to the needs of prospective respondents, the researcher, thus, made it simple, clear and uncluttered so that participants would be able to complete it without feeling stressed or bored. The questionnaire was stratified into two groups, namely managers and their subordinates. Through this process, the electronic questionnaire would randomly select the appropriate questions for each group, because the survey was developed with these specific conditions in mind. Most of the time, managers in the public sector are perceived as people who possess

considerable knowledge and experience and, consequently, their questionnaires contained more open-ended questions than close-ended questions, whereas the questionnaires for their subordinates contained mainly close-ended questions. According to Gass and Mackey (2005:93) open-ended questions requires respondents to use their own thoughts and ideas and to express the way that they feel, while in close-ended questions the researcher determines the possible answers. They further state that close-ended questions involve uniformity of measurement which results in greater reliability.

### **4.3 Pilot Testing**

The purpose of a pilot testing is to test whether there are underlying problems and address them before the main study is carried out. A pilot study is an important means of assessing the feasibility and usefulness of the data collection methods and making any necessary revisions before engaging with the research participants (Gass & Mackey, 2005:43). Leavy (2017, 116) on the other hand states that “a pilot study is a complete run through of your study”.

The researcher decided to pilot test the data collection instrument with a number of ECDoE employees to check its reliability. The questionnaire was sent to fifteen (15) prospective participants, inclusive of managers and subordinates, and ten (10) of these were returned on time. An electronic mail was sent initially to these participants inviting them to take part in the survey and explaining exactly what was required of them, such as requesting them to identify any problems, spelling mistakes and whether they understood the questions, as well as indicating how long it took to complete the survey. At the same time, the researcher wanted to check whether data sets were correct, including the conditions that were set to enhance the measuring instrument's validity.

After most responses had been received, the researcher exported the data into an excel spreadsheet and identified the variables to be used during the research process and sent the spreadsheet to the Centre for Statistical Consultation (CSC) at Stellenbosch University for statistical analysis. Minor changes were completed to enable the gathering of more accurate data, such as aligning nominal texts as nominal and ordinal answers as integers. The data obtained from the survey was then analysed using frequency tables, histograms. As a result of information obtained through the pilot study, the researcher was in a position to initiate amendments to the survey document and the final questionnaire was then sent to prospective participants.

#### **4.4 The Research Instrument**

As mentioned previously, the research instrument used in this research study was a questionnaire which had been pre-tested to ensure validity and reliability and was capable of generating valid answers to the research questions and related research objectives. Bradburn, Sudman and Wansink (2004:9) stress the importance of the researcher ensuring the high quality of questionnaire because it plays a major role in making the participants' experience enjoyable, thus, motivating them to answer the questions. They compared an inferior questionnaire an awkward conversation that can turn an initially pleasing situation into an uninteresting or frustrating experience.

The questionnaire used in this research study contained a total of fifty-one questions that were stratified for managers and subordinates and contained ten open-ended questions and forty-one closed-ended questions. This instrument was subdivided into four sections: Section A included biographical information of participants such as gender and workplace experience. This information was to be used to identify the opinions of both male and female participants and to discover if there were any differences in the way they perceived PM because the latter might have theoretically suggested gender discrimination or favoritism in the application of the PMDS by the supervisors. Experience in the workplace determined the extent to which participants have been exposed to PMDS and, therefore, completing performance agreements since the implementation of this system.

Section A also had questions relating to how participants perceived the implementation of the PMDS. Participants were asked to identify challenges regarding in the manner in which PAs were conducted in ECDoE whether employees received prior induction or training. They were also asked to indicate whether they had knowledge of the policy governing PMDS implementation in the ECDoE whether this policy has been discussed with them. Managers were asked to explain how they measure their subordinates, also whether they measure them against achieved outputs in order for the researcher to determine if the payment of incentives or bonuses is informed by the performance of the organization. Section A further addressed the issue of late submission of performance agreements and appraisals and managers were asked whether they submit PA documents on time and if there were challenges that prevented timeous submission.



Section B contained closed ended questions dealing with similar issues and were addressed to the subordinates. They were asked to indicate if their performance is measured against mutually agreed set objectives and whether they have work-related set targets in order for the researcher to identify if the payment of incentives or bonuses is informed by work performances.

Section C discussed the submission of performance agreements and appraisals. The subordinates were asked whether they submit PA related information timeously, if they were given deadlines that permit/encourage them to submit these documents on time and whether they received reminders to do so from HRM. Those participants who admitted late submission, were asked to provide reasons for this and to indicate ways of preventing future late submission.

Section D discussed the issue of rating and how the participants score themselves when assessing their performance. Participants were asked to indicate what kind of evidence they produce in respect of work completed beyond their set work schedule that entitles them to receive bonuses.

#### 4.5 Sampling

Table 4: Sampling

Sample	Sample Size
Managers	10
Subordinates	14
Total	24

**Source, the researcher**

Saris and Gallhofer (2014: 9) defines “sampling as a procedure to select a limited number of units from the population in order to describe this population.” According to Marczyk, DeMatteo and Festinger (2005:18) the ‘population’ is all individuals of interest to the researcher but, because the researcher cannot study the whole population, it is necessary to study a subset of the population and this subset is called a sample. The ECDoE has about 4166 employees working in Administration of the ECDoE inclusive of head office and district office employees, however the participants selected represent each directorate under Administration (Annual Report:2019:112). The simple random sampling method was used for selecting participants for this research. Leavy (2017:79) states that simple random sampling is a

sampling strategy where each unit has an equal chance of being selected in the study population. The reason for using this method is because it is considered to be the easiest way to obtain a sample that is representative of the larger population (Gass & Mackey, 2005:120). Stratified random sampling was used to divide ECDoE employees into two groups, namely supervisors and subordinates, then simple random sampling was applied within each stratum.

The sample was inclusive of Senior Managers, Deputy Directors, Assistant Directors, Senior Provisioning Administration Officers, Provisioning Administration Officers, Senior Provisioning Clerks and Administrative Clerks to ensure every level of employees is presented and, thus avoid bias. A total of 28 ECDoE employees were invited to complete the survey, of which 24 (10 managers and 14 subordinates) agreed to participate in the study, representing an 86% response. The researcher regarded this sample as sufficient because each rank was presented in the study. A purposive sample was used to select the participants and the purpose of using this sample was to ensure that the participants selected would be relevant for the study as questions were aligned according to the ranks in order to produce useful data. Patton (2015) states that “the purpose of a purposeful sample is to focus case selection strategically in alignment with the inquiry’s purpose, primary questions, and data being collected”.

#### 4.6 Ethical Considerations

Lapan, Quartaroli and Riemer (2012:22) mention the following three basic principles to guide researchers (Belmont Report, 1979): (1) **Beneficence** – this principle emphasises that in their research researchers should try to maximise the positive outcomes for science and humanity and minimise risks and harm to the participants. (2) **Respect** – researchers must treat their participants with respect and courtesy. (3) **Justice** – researchers should ensure that research participants will reap the benefits of the research by ensuring that the procedures they use are reasonable, carefully arranged, nonexploitative and fairly administered.

Cresswell (2009:87) states that researchers need to protect their participants and develop their trust to enhance the integrity of the research and guard against any misconduct that might reflect negatively on the organisation. Cresswell further highlights that before they start their research, researchers need to develop an informed consent form for participants to sign before engaging in the research study. Cresswell (2009:87) cites Sarantakos (2005) who listed the following elements of the informed consent form: identification of researcher, purpose of the research, benefits of participating, participants’ confidentiality and assurance of freedom to

withdraw at any time. Bradburn, Sudman and Wansink (2004:14) explain that the term ‘informed consent’ implies that potential respondents should be given adequate and accurate information about what they are being asked to do and how their responses will be used so that they can decide if their disclosures will result in unpleasant consequences.

Kumar (2011:220) and Cresswell (2009) agree that it is unethical to collect information unknown to participants and without their expressed willingness and informed consent. Kumar also states that bias on the part of the researcher is immoral and explains bias as a conscious attempt to either hide the results of a study or to highlight something disproportionately to its true existence. Kumar (2011:222) further warns that it is dishonest for the research to knowingly use an inappropriate method or procedure to prove or disapprove a theory, such as selecting a highly-biased sample, using an invalid instrument or drawing wrong conclusions. In addition, reporting research findings in a way that changes or slants them to serve the researcher’s interests is also deemed unethical.

The author of this study agrees with the above theorists and, thus, ensured that proper procedures were followed throughout this research by abiding by all the aforementioned ethical considerations as listed below. An initial application form was completed and submitted to Stellenbosch University Research Ethics Committee to obtain approval and an ethical clearance certificate. The application form submitted to this committee detailed the purpose of the research, explained the research instrument to be used for the research and acknowledged that there were no sponsors for the research. The research proposal, a copy of the informed consent form and the gatekeeper letters were attached to the application form. The researcher also completed and submitted an application to conduct research to the ECDoE Research Committee.

The above applications were approved by Stellenbosch University and the ECDoE respectively and their letters of approval were attached to the survey which was sent to the participants. The participants were sent a consent form that they were required to complete if they wished to participate in the research project. It was explicitly explained to participants that involvement in the research study was voluntary and that they were free to withdraw at anytime. They were also informed that participation would not adversely impact them because completion of the survey was an anonymous activity and their identities would not be linked to their responses.

The time required to complete the survey was also given. Through all these listed actions, the researcher ensured the research process was ethical.

#### **4.7 Data Collection Method**

Gass & Mackey (2005:354) describes data collection as a general process of collecting information relating to a research question, problem or area. In order for the researcher to collect the necessary information for this research project, a checkbox survey with a questionnaire was designed as the data collection method. The questionnaire was administered online and sent to the participants via an electronic email invitation that was attached to the survey. The qualitative and quantitative data was collected from the survey and then differentiated in terms of open-ended and closed-ended questions. The participants responded to the survey until the set expiry date, after which time the researcher exported the data from the survey to an excel spreadsheet in order for the data to be analysed statistically. The variables to be analysed were identified and were named numerically – nominal data was identified as text, integers for ordinal data and interval scales for continuous data. The data collected had to be initially screened carefully by the researcher for accuracy, completeness and to identify whether it was readable, understandable and the necessary information included.

The questionnaire was set not to accept responses or to go forward if the participant wished to skip a certain question and in this way, it avoids missing data. The data sets had to be checked thoroughly and continuously until the survey cut off time. Additionally, secondary sources such as the policy governing the ECDoE was analysed extensively, together with the MPAT report. The data collected was sufficient for the proposed research project and the researcher was able to obtain findings and draw conclusions.

#### **4.8 Reliability and Validity of Data Collected**

Gass & Mackey (2005:106) imply that all researchers to some extent want to ensure that the research results are valid. Researchers want the results to reflect what they believe they reflect and that they have significance not only to the population that was tested but at least for most experimental research and the relevant population. Gass & Mackey further mention that there are many types of validity such as content, face, construct, criterion related, predictive, internal and external validity.

To ensure validity of the data collected in this research study, the researcher had to make certain that the content on the research instrument was well presented and would gather accurate information. Moreover, a pilot test was conducted to enable the participants to familiarise themselves with the instrument, thus, enhancing face validity. The researcher also had to ensure that the research instrument adequately captured participants' interest by making the questions precise and relevant to their knowledge and experience.

Kumar (2011) states that reliability is the ability of a research instrument to provide similar results when used repetitively under the same conditions. The higher the reliability the higher the accuracy or the higher the accuracy of the research instrument the higher its reliability. The instrument used in this research project was piloted to test its consistency and its reliability. The researcher confirmed that the participants, including those in the pilot group, understood the questions and gave clear answers without repetition or confusion and yielded consistent results, thus proving the research was reliable.

Kumar (2011) mentioned factors that affect the reliability of a research instrument:

- The wording of the questions – a slight vagueness in the wording of the questions or statements can adversely affect the reliability of a research instrument because participants may interpret the questions differently resulting in dissimilar responses.
- The respondent's mood – a change in a respondent's mood while answering questions can affect the instrument's reliability.
- The regression effect of an instrument – when participants are asked to express their opinion or attitude towards a certain issue and have responded either positively or negatively, they can be reluctant to express a similar opinion a second time for fear of being seen as too one-sided and thus give false answers which can affect the research's reliability.

#### **4.9 Data Presentation, Analysis and Interpretation**

The research questionnaire contained fifty-one (51) questions with ten (10) being open-ended questions and forty-one (41) being closed-ended questions. These latter questions were simple and randomised and stratified into two groups – managers and subordinates – each with their own set of questions resulting in different data. There were forty-four (44) questions for managers and thirty-five (35) for subordinates. The resultant data is presented below, all the questions were analysed and only the variables that were identified will be presented and

analysed for this research study. The data presented is supported with evidence such as frequency tables and graphs in the form of a histogram. Leavy (2017:116) states that tables are an effective means of presenting data relating to a number of variables and can be used for inferential statistics and descriptive purposes, while histograms are appropriate for presenting the distributions of a single variable.

#### 4.9.1 Section A, Biographical Information

At the beginning of the questionnaire, participants were requested to confirm their willingness to participate in the survey and to indicate whether they had understood what was written in the consent form to enable them to proceed further with the survey. The frequency tables below indicate that all participants understood the concept and, thus gave their consent.

**Table 5: Understood**

Category	Frequency table: Understood			
	Count	Cumulative	Percent	Cumulative
		Count		Percent
Y	24	24	100	100

**Source: the researcher**

**Table 6: Consent**

Category	Frequency table: Consent			
	Count	Cumulative	Percent	Cumulative
		Count		Percent
Y	24	24	100	100

**Source: the researcher**

#### 4.9.2. Gender

Out of the 24 participants, 11 were males (46 %) and 13 were females (54%).

**Table 7: Gender**

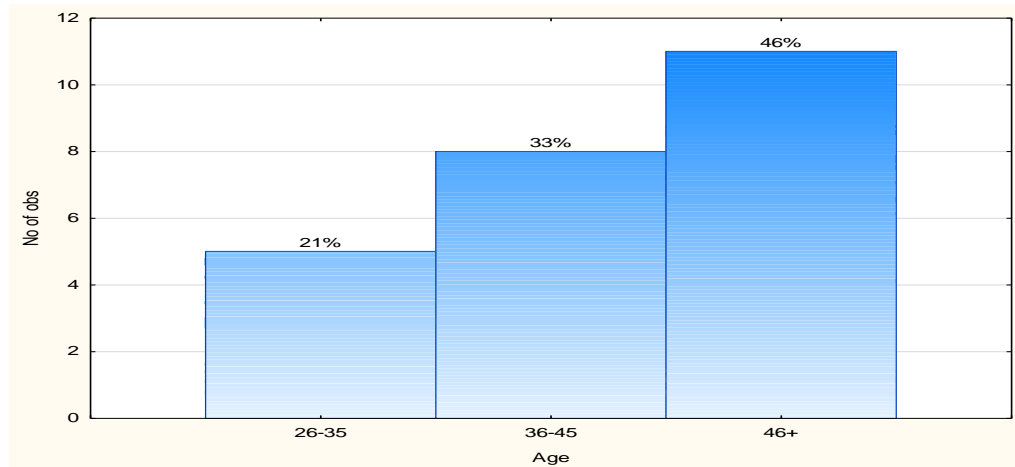
Category	Frequency table: Gender			
	Count	Cumulative	Percent	Cumulative
		Count		Percent
M	11	11	45.83333	45.8333
F	13	24	54.16667	100

**Source: the researcher**

### 4.9.3. Age

Out of the 24 participants, 21% were in the age range of 25-35, 33% between 36-45 and 46% 46 years and older.

**Figure 1: Age**

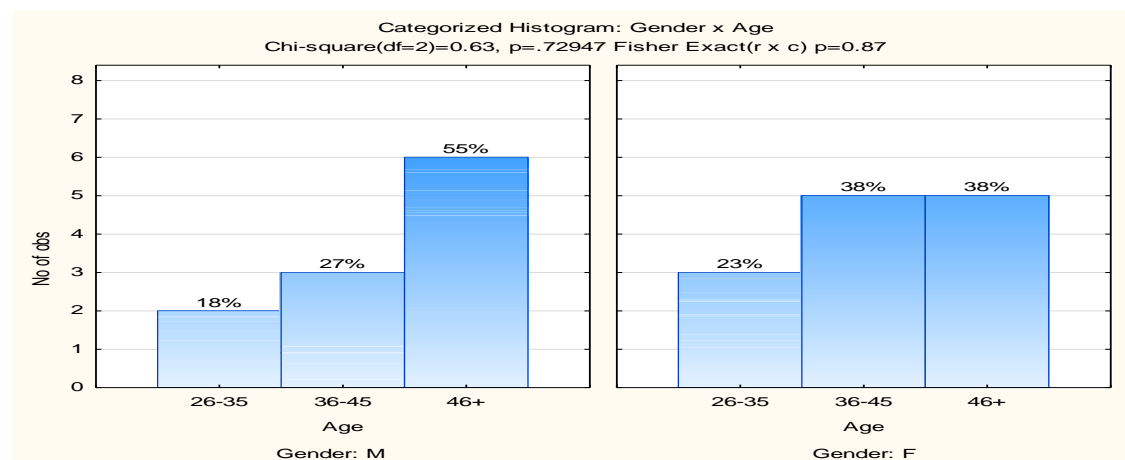


Source: the researcher

### 4.9.4. Gender and Age

Out of the 24 participants, the age range 26-35 presented 18% males and 23% females, the age range 36-45 presented 27% males and 38% females and the age range 46+ presented 55% males and 38% females.

**Figure 2: Gender and Age**



Source: the researcher

#### 4.9.5. How long have you been an employee in the department?

The graph represents the number of years each participant has been employed by the ECDoE. The more years an employee has been employed, the greater his/her experience and exposure to relevant policies, regulations and systems, specifically the PMDS. 8 participants have been employed for more than 20 years (33% of the population), 7 participants for between 11-20 years (29%), 4 participants between 6-10 years (17%) and 5 participants between 0-5 years (21%). These figures indicate that most participants have been employees with the ECDoE for a number of years.

**Table 8: Employee Experience**

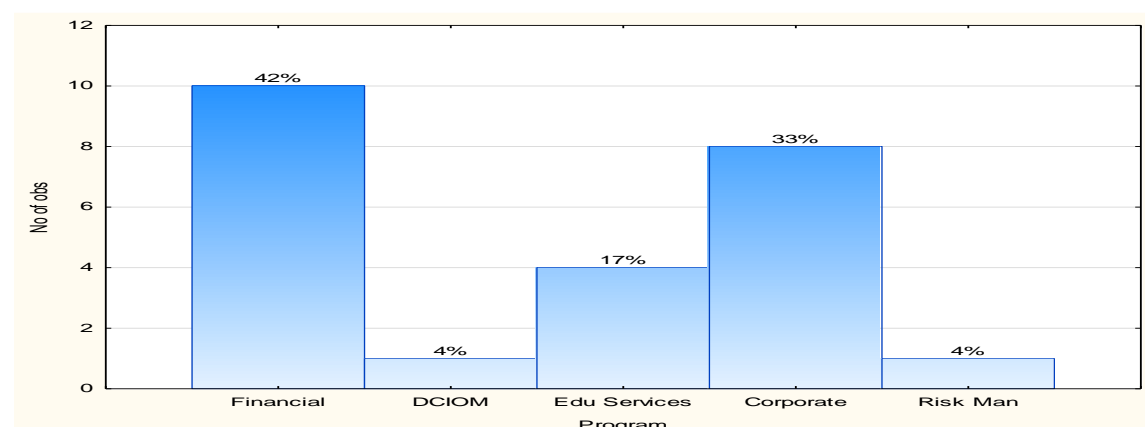
Category	Frequency table: Employee			
	Count	Cumulative Count	Percent	Cumulative Percent
5	5	5	20.83333	20.8333
10	4	9	16.66667	37.5
20	7	16	29.16667	66.6667
30	8	24	33.33333	100

Source: the researcher

#### 4.9.6. Which directorate or programme do you belong to?

The majority of directorates within ECDoE were presented in the sample population – 42% from Financial Management, 33% from Corporate Management, 17% from Educational Services and 4% from District Coordination, Institutional Operations Management and 4% from Risk Management.

**Figure 3: Directorate or Programme**



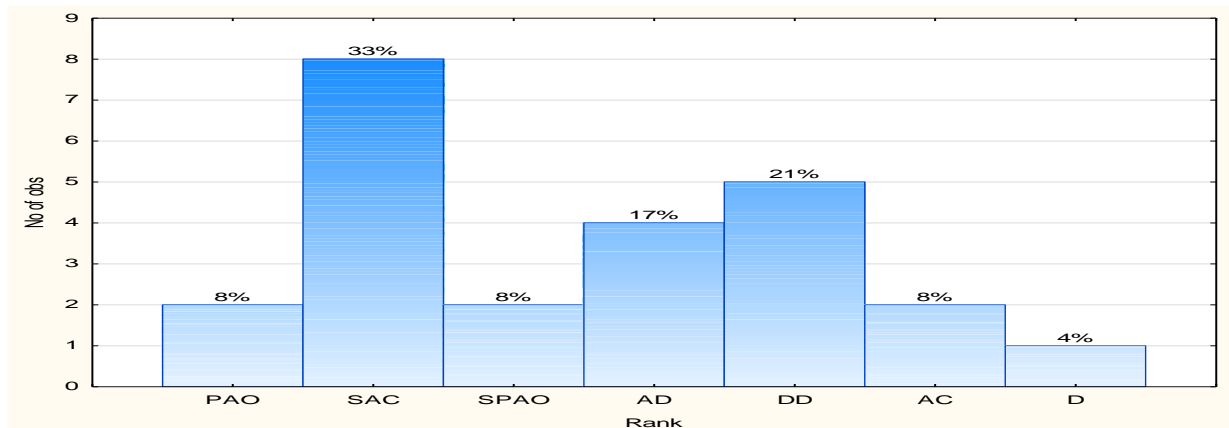
Source: the researcher



#### 4.9.7. What is your rank or position in the department?

Both managers and subordinates were represented in this research study and were subdivided into ranks as follows: Senior Administrative Clerks 33%, Deputy Directors 21%, Assistant Directors 17%, Senior Provisioning Administration Officers 8%, Provisioning Administration Officers 8%, Administration Clerks 8% and Directors 4%.

**Figure 4: Rank/Position in the Department**



Source: the researcher

#### 4.9.8. Do you know the offices of PMDS in the ECDoE?

100% of the sampled population know the offices of PMDS in the ECDoE. This fact indicates transparency and openness within the PMDS office. When any of the participants need to consult with the PMDS office, they know where to go. The Head Office of ECDoE is extensive with a number of offices and dwellings. One of the principles of the Constitution of the RSA (1996: s195) states that transparency should be encouraged by offering timely, affordable and precise information to the public. Additionally, the White Paper on transforming public service delivery-Batho Pele focuses on access to information, consultation and redress as well as transparency. These are the principles that are applicable to the PMDS office because employees should have access to information, consultation and redress.

**Table 9: Knowledge of PMDS office**

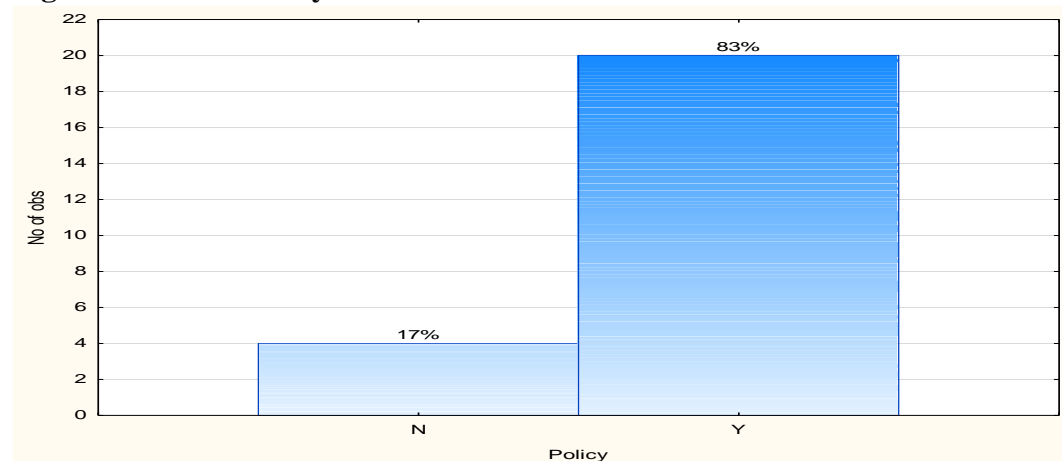
Category	Frequency table: Offices			
	Count	Cumulative Count	Percent	Cumulative Percent
Y	24	24	100	100

Source: the researcher

#### 4.9.9. Do you know the policy governing the ECDoE?

This question was posed to both managers and supervisors and 83% of the population confirmed knowledge of the policy governing the ECDoE, whereas 17% indicated that they lack of knowledge. The ECPA PMDS Policy (2018:16) indicates that the integration of provincial policies and departmental plans forms the foundation on which the PMDS is intended, implemented and managed. Also, PSR (2001: s12) indicates that because employees have a role to deliver services to the public in an unbiased manner, they should make themselves aware of all relevant policies, including the PMDS policy.

**Figure 5: PMDS Policy**

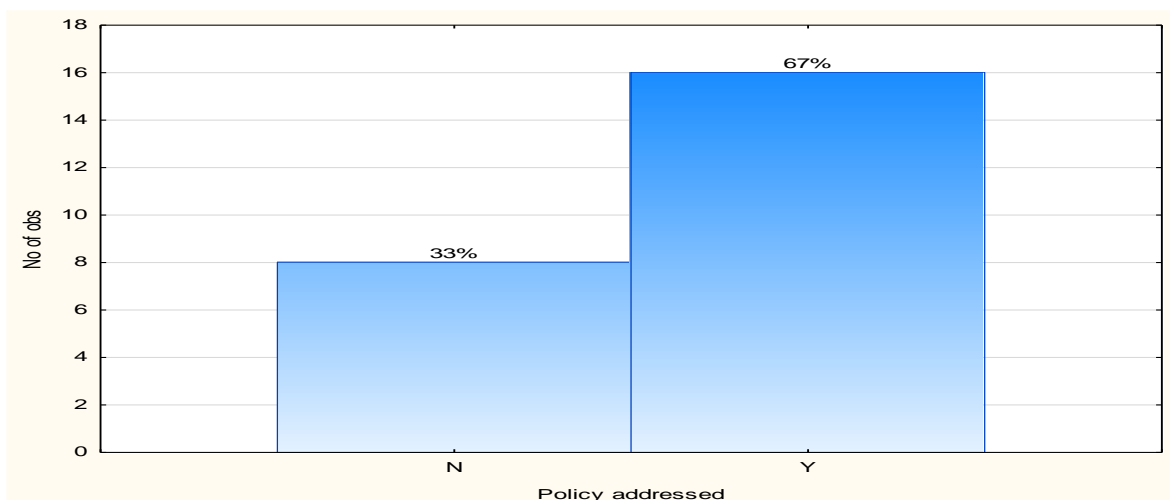


Source: the researcher

#### 4.9.10. Was this policy addressed to you as an employee of the department?

This question was posed to both managers and supervisors and 67% of the population stated that the PDMS policy was addressed to them, whereas 33% gave a negative response. The Batho Pele principles state that information should be given courteously as previously indicated in Chapter 2 of this research study.

**Figure 6: Policy Addressed to Employees**

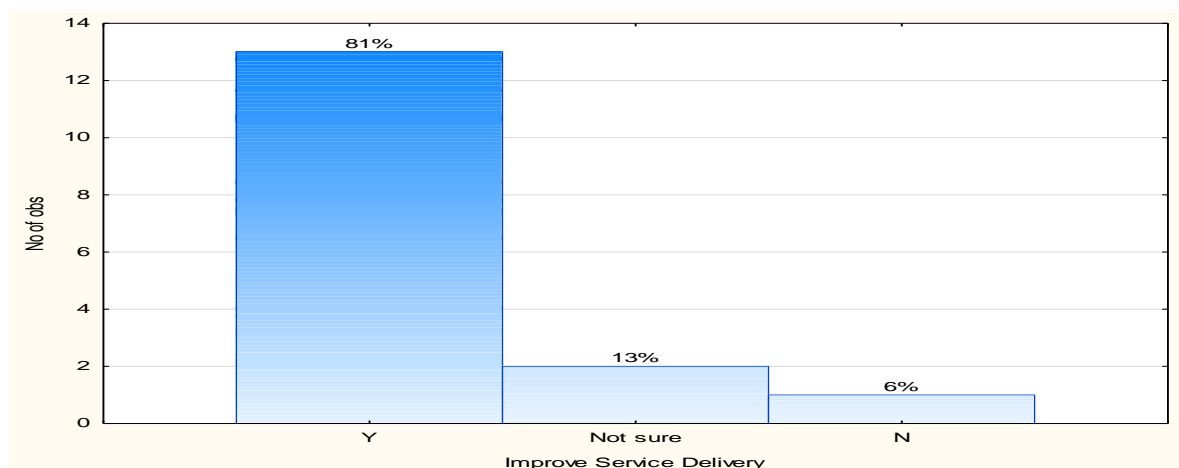


Source: the researcher

#### 4.9.11. Was the policy implemented to improve service delivery?

This question was posed to both managers and supervisors and 81% of the population indicated that the policy was implemented to improve service delivery, 13% were uncertain in this regard, while the 6% stated that it was not. The ECPA PMDS Policy (2018:16) indicates that the primary goal of the PMDS is to improve service delivery through improved PM

**Figure 7: Implementation of the Policy**

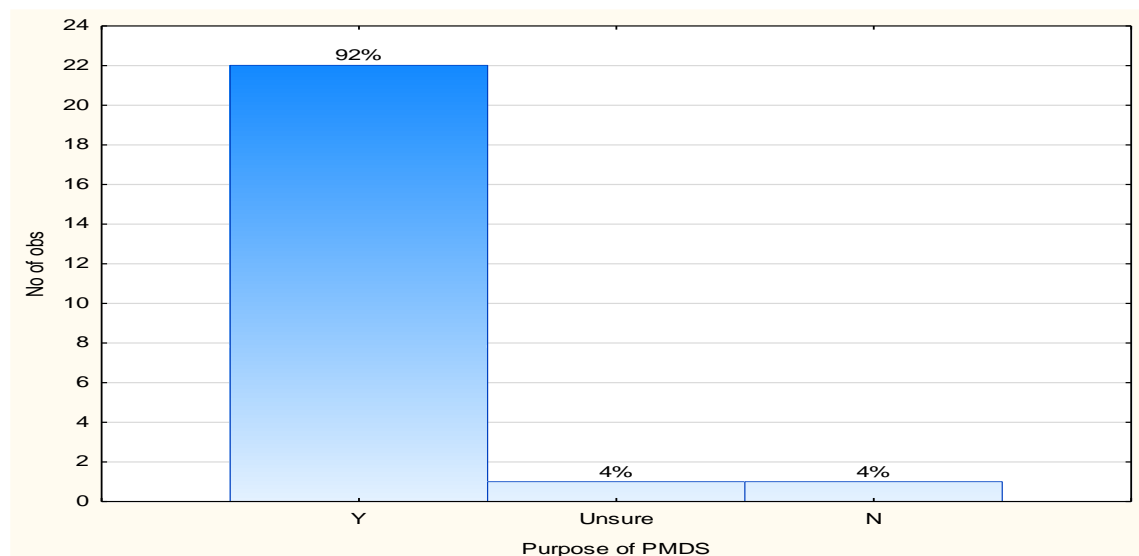


Source: the researcher

#### 4.9.12. Do you know the purpose of PMDS?

This question was posed to both managers and supervisors and 92% percent of the participants indicated that they know the purpose of PMDS in ECDoE, 4% were unsure and the remaining 4% did not know.

**Figure 8: Knowledge of PMDS**



Source: the researcher

#### **4.9.13. Can you provide the purpose?**

According to randomly selected subordinates, the purpose of PMDS includes the following: (1) to motivate those employees who have performed beyond expectations, (2) to monitor the officials closely, (3) to enable supervisor to identify the weaknesses of subordinates and provide training relevant to their daily field of work and, if there is no improvement after training, use the appropriate corrective measures, (4) to ensure that each employee continues to render services to the government as per their contract or job description by looking at work objectives and assessing and evaluating the employee's performance and (5) to improve the quality of services public servants render to the public by way of motivating employees through performance bonuses.

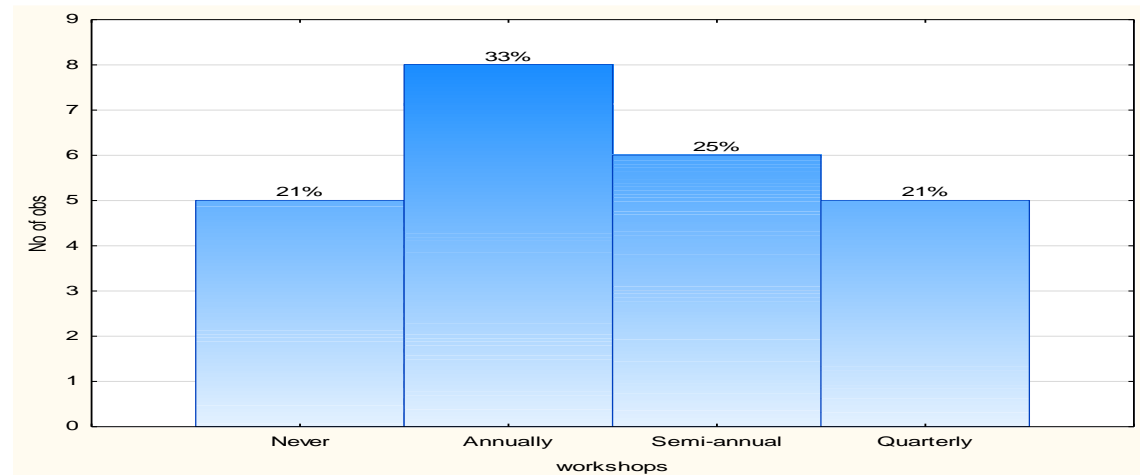
According to the supervisors the purpose of PMDS are as follows: (1) to enable the planning, managing and improving of employees' performance, (2). to optimize every employee's output in terms of quality and quantity, thereby improving the ECDoE's overall performance and service delivery (3) to reward those officials who have done more than was expected of them according to their work agreements, (3) to determine areas where employees require skills development, (4) to assess if employees are doing their work optimally and if they are not, to provide interventions to assist them to perform at the required standard, (5) a tool for measuring the performance of employees, awarding them a score and rewarding those who are performing above the measurable objective, (6) to measure performance and facilitate development of core competencies of employees to deliver on mandate and (7) to manage performance by rewarding good performance and recommending development programmes to improve poor performance.

The opinions expressed in the literature reviewed in Chapter Two above are in agreement with the findings expressed in this chapter because they indicate the purposes that PMDS should serve as being to improve employees' work performance, manage merit pay, assist employees to understand work expectations, counsel and encourage employees, determine employees' potential, recognize employees' training needs, develop suitable working relationships and decide when to promote employees (Furnham, 2004:85).

#### 4.9.14. How often does the PMDS office conduct workshops?

This question was posed to both managers and supervisors and 33% of the participants indicated that workshops are conducted annually, 25% indicated half-yearly, 21% indicated quarterly and 21% stated that workshops were never conducted in the department. The literature reviewed in Chapter Two indicated that it is important for workshop to be conducted during which employees can discuss the PMDS and understand or develop the skills required for effective compliance (Sahu, 2007:26).

**Figure 9: Timeframe for Conducting Workshops**

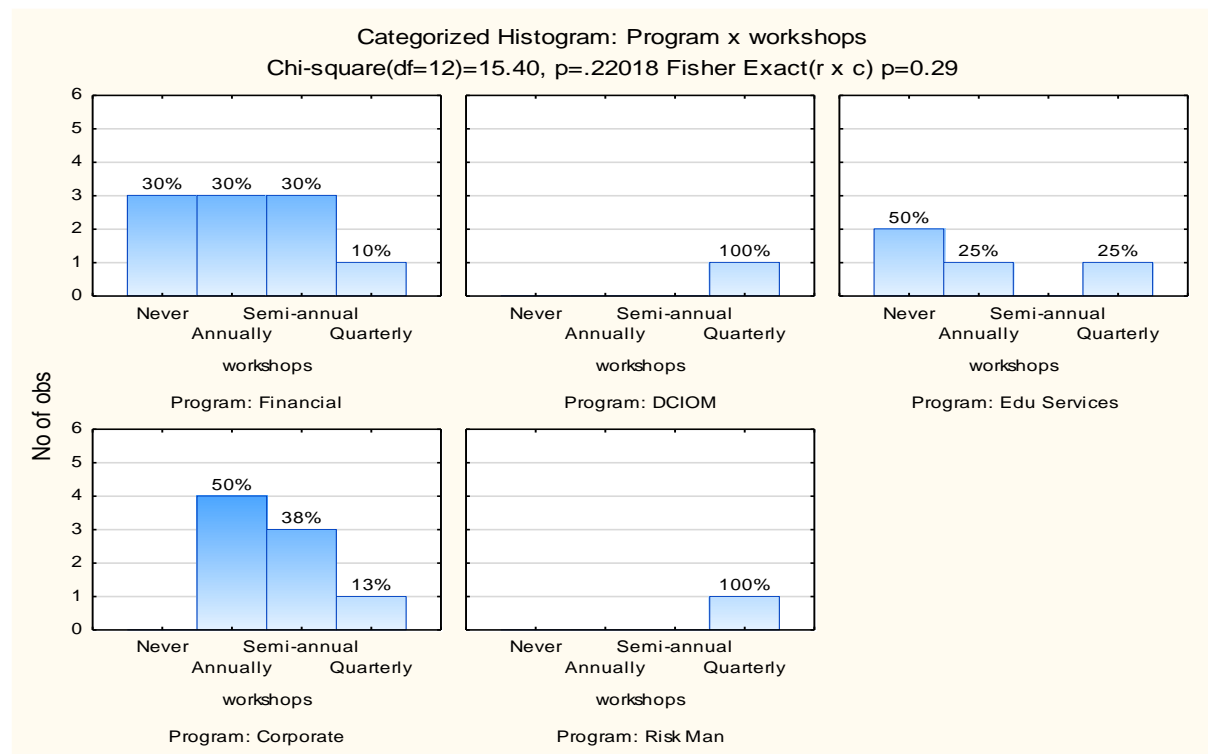


**Source: the researcher**

Two variables were compared between the programmes and the workshop to indicate exactly which programmes attended the workshops and those that did not, as well as whether the workshops were held quarterly, half-yearly or annually. The researcher had to take into consideration that each programme is divided into directorates and each directorate is subdivided into sections. For example, Financial Management is divided into Finance and Supply Chain Management, both of which are subdivided into sections. The research data indicated that within the Financial Management directorate, 30% of the participants had never attended a PMDS related workshop, 30% of them indicated that training workshops are conducted half-yearly, 30% indicated that workshops are conducted annually and 10% indicated they are conducted quarterly. District Coordination Institutional Operations Management– 100% of the participants indicated that workshops are conducted quarterly. In the Education Services section, 50% of participants indicated that workshops are never conducted, 25% indicated that they are conducted half-yearly and 25% indicated that workshops are conducted quarterly. In the Corporate Management section, 50% of the participants indicated workshops are conducted half yearly, 38% indicated annually and 13% indicated quarterly. In the Risk Management section, 100% of participants indicated that

workshops were conducted quarterly. There was no significant association between the programmes and the workshops according to the chi-square.

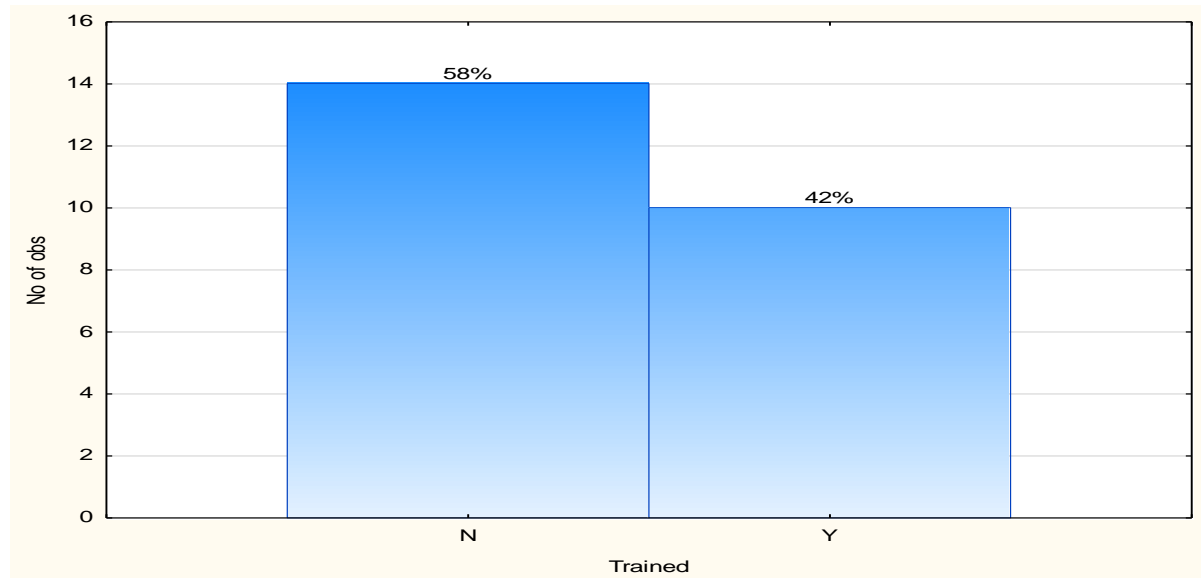
**Figure 10: Programme and Workshops**



Source: the researcher

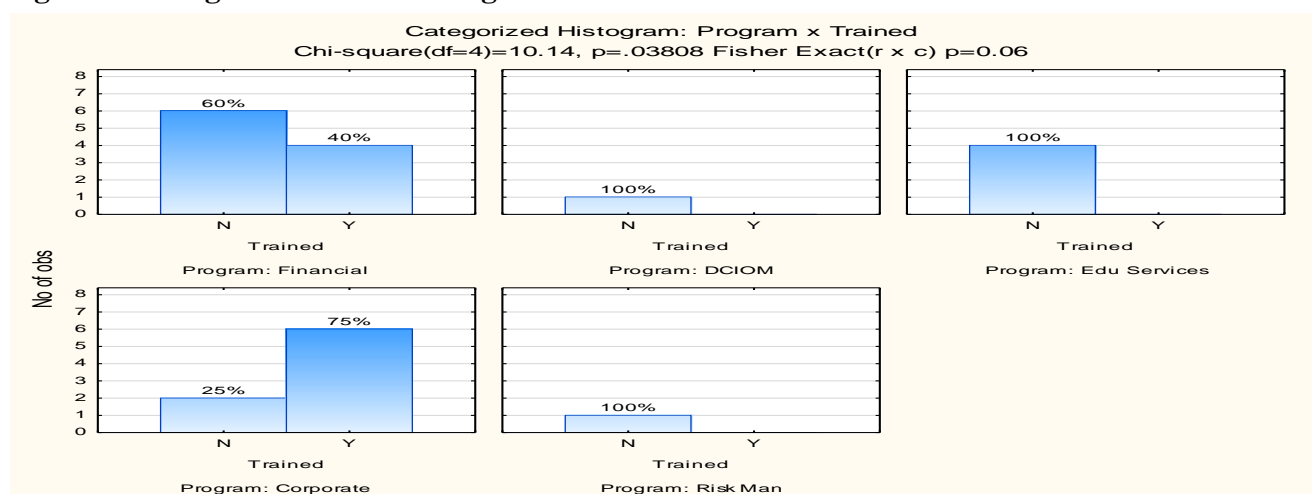
#### 4.9.15. As an employee of the Eastern Cape Dept. of Education, were you trained how to use the PMDS?

This question was posed to both managers and supervisors and 58% of the participants indicated that they had received no PMDS related training while 42% indicated that they had received such training. The literature reviewed in Chapter Two indicated that training of employees and managers in the use of the PMDS is recommended to enhance employees' workplace performance (Pulakos, 2009:112). Sahu (2007:26) stated that many organisations introduce a PMS without providing any training on its implementation for managers who are to execute the system, and that without the training, the system is often ineffectual. The White Paper on the transformation of the public service RSA (1995:53) indicated that government departments must implement a strategic framework for HRM which will entail a number of related elements, including training and education.

**Figure 11: Training of Employees**

Source: the researcher

Two variables were compared between the various directorates and the training of participants to indicate which directorates or sub-directorates frequently trained their employees and in which directorates or sub-directorates the employers received no training. There was a significant difference between the directorates or sub-directorates in terms of the PMDS related training provided to employees. Financial Management participants indicated that 60% of them had received PMDS related training while 40% had not. Corporate Management participants indicated that 75% had received this specific training and 25% had not, while DCIOM, Risk Management and Educational Services participants reported that they had never received any PMDS related training.

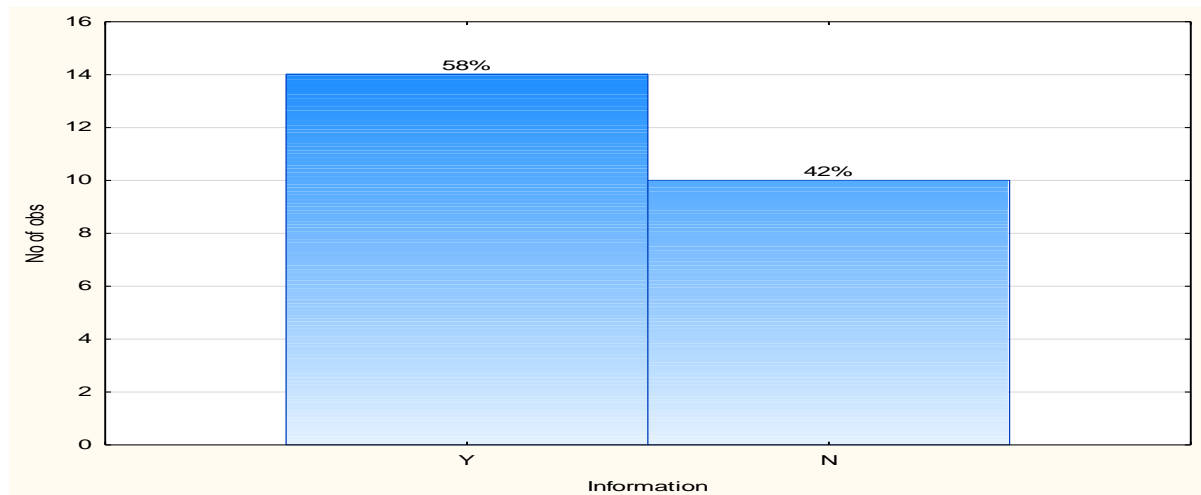
**Figure 12: Programme and training**

Source: the researcher

#### 4.9.16. Have you ever been given information, orientation or induction in relation to the PMDS?

This question was posed to both managers and supervisors and 58% percent of the participants indicated that they were given information in relation to the PMDS, however 42 % percent indicated that they had not received this information.

**Figure 13: Information/Induction/Orientation**

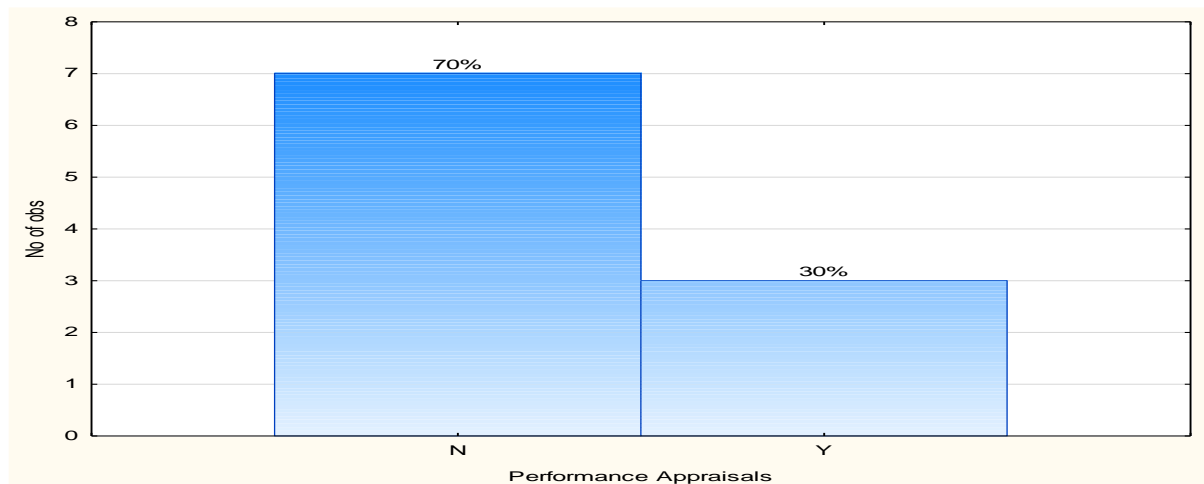


Source: the researcher

#### 4.9.17. Do you think that performance appraisals are conducted properly in the ECDoE?

This question was posed only to managers and 70% of them indicated that PAs are not conducted properly in the ECDoE and 30% indicated that they are conducted correctly. The literature reviewed in Chapter Two above indicated that PA relates to all official processes used to assess employees, their contributions and potential. It is a process involving planning and measuring employees' performance in terms of work requirements and well as identifying the employees' training requirements (Sahu, 2007:7).

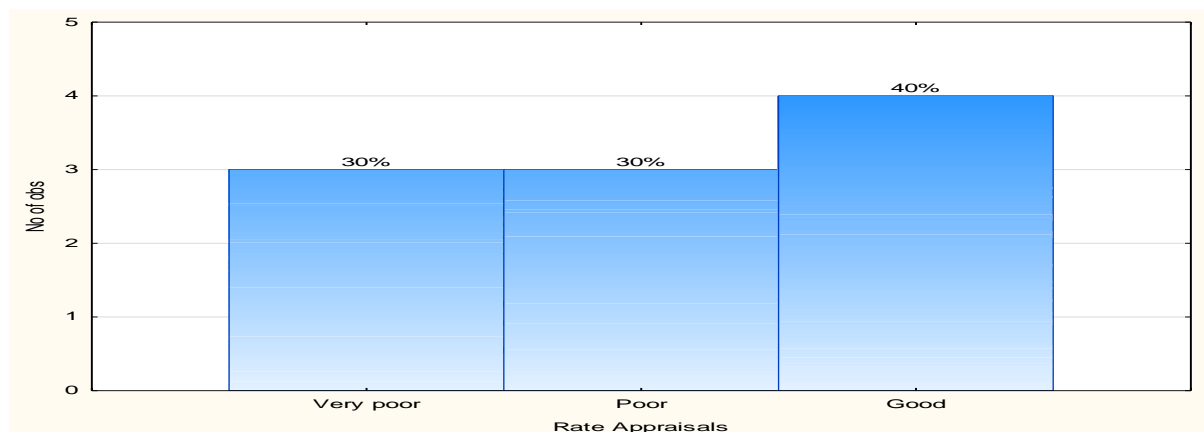


**Figure 14: Performance Appraisals Conducted**

Source: the researcher

#### 4.9.18. How would you rate the performance appraisals conducted in the ECDoE?

This question was posed only to managers and 40% of the managers rated PAs as being effectively conducted in the department, however 30% rated them as poorly implemented and the other 30% rated them as very poorly executed.

**Figure 15: Performance Appraisals Rating**

Source: the researcher

#### 4.9.19. What is your reason for your rating?

This question was an open-ended question which was directed to the managers. Below is a summary of their responses.

- Performance Appraisals (PAs) not conducted quarterly as per the policy but at the end of the financial year for all four quarters.
- The PA system has lost its meaning because it is only viewed as an incentive system instead of developing an effective and efficient cadreship.

- Employees not submitting their PA documents in time to HRD office, so they cannot be paid in time.
- Most PAs are conducted at the last minute and are completed merely in compliance to regulations.
- Lack of consistency when conducting PAs and monitoring employees' performance.
- The influence of unions on the PA process is very unhealthy.
- One Manager stated that the PA process is effective in the ECDoE because the PMDS policy is implemented properly.

**4.9.20. When assessing your subordinate, is the assessment based on achieved outputs?**

100% of the managers indicated that they assess their subordinates according to their achieved outputs.

**4.9.21. In your view, what are the problems or challenges in the manner in which performance appraisals are conducted in the ECDoE?**

This question was an open-ended question which was directed to the managers. Below was the summary of the responses by the managers.

- Directorates not complying with the PMDS policy.
- Quarterly reviews not submitted with the specified timeframes or only submitted at the "very last moment", employees' performance is not assessed on merit but according to supervisors' favourites.
- Lack of uniform application of the PA system.
- Late payments resulting in payment accruals.
- Appraisals should be aligned to the strategic goals and objectives of both employees and the ECDoE and should also take into consideration the audit outcomes.
- PAs are completed as an administrative duty.
- There is no consistency within the ECDoE in terms of how the PMDS should be applied, this situation creates confusion and frustration for many employees.
- The conducting of PAs is very subjective.

**4.9.22. In your opinion, what are the causes of the problems or obstacles that you identified in your response to the previous question?**

This question was open-ended and was directed to the managers. Below is the summary of the manager's responses.

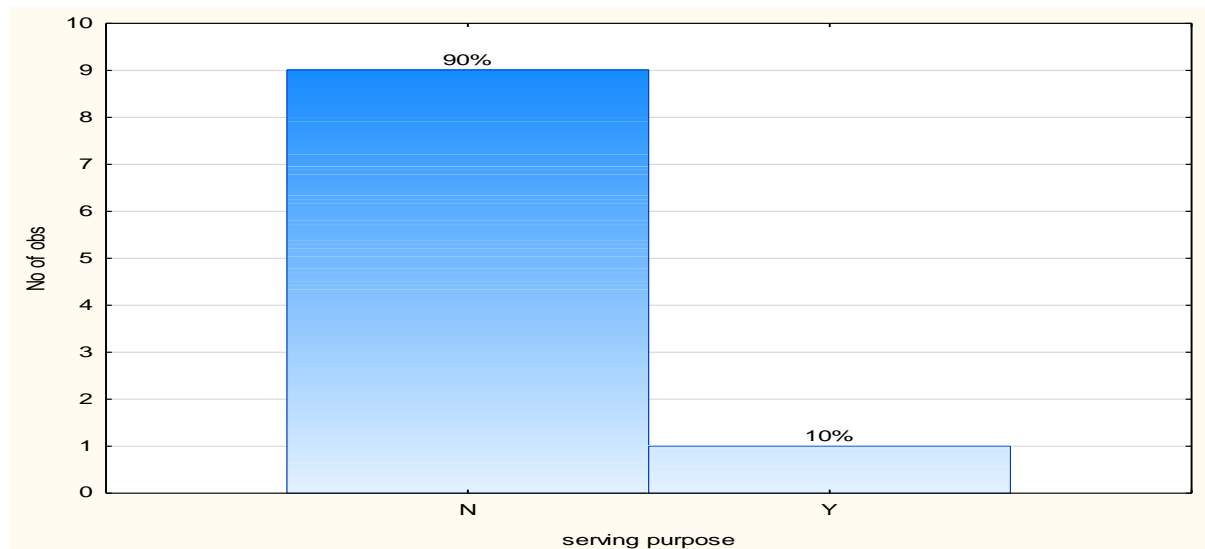
- Favouritism.

- No unity between the directorates.
- No penalties to those employees who disobey regulations.
- PMDS has been turned into a money making instead of a PM process.
- Different interpretations as well as applications by managers within the different directorates and sub-directorates.
- Ignorance of due dates resulting in late submission of PA documents.
- Lack of management and intervention within the PMDS directorate.
- Employees do not understand the purpose of the PA process.
- No proper training on the implementation of the PA policy
- Some managers are biased, and this leads to frustration amongst employees.
- Managers do not manage their subordinates but rather want to be friends with them.

#### 4.9.23. Do you think that the PMDS is serving its purpose in the ECDoE?

This question was posed to managers and 90% percent of the managers indicated that in their opinion the PMDS is not serving its purpose in the ECDoE, while 10 % indicated that they thought it was doing so. The literature reviewed in Chapter Two suggested that organisations should periodically conduct surveys or focus groups to ascertain whether employees are satisfied with the PMS (Pulakos, 2009:117).

**Figure 16: PMDS is serving its purpose**



Source: the researcher

#### 4.9.24. Can you recommend ways to improve the execution of the PMDS in the ECDoE?

This open-ended question was directed to the managers. Below is the summary of their responses.

- Discontinue the PMDS.
- Amend the policy.
- Set timeframes.
- Assessment to be conducted quarterly as required, employees who do not submit documents in time must be penalised.
- Performance bonus must be paid on merit and in line with the PMDS policy.
- Re-orientation of personnel through continuous workshops as well as surveys.
- All employees to be trained in the skills required for their key performance areas on a quarterly basis.
- Train people on PMDS and ensure managers are capacitating their subordinates based upon the skills needed, as specified in the PMDS document.
- Set achievable targets aligned to the strategic goals and objectives of the ECDoE as well as corrective measures to address the findings in the audit report.
- Skills shortages should also be monitored and addressed.

The literature reviewed in Chapter Two suggested that in order to improve performance, the PMDS must be managed by the overall management team and also on an individual employee level by each manager. Participation by subordinates, adequate training for all employees, consistency of application, strong commitment from top management are other features that identifies as being necessary for an effective PMDS (Sahu,2007:25.

#### **4.9.25. As a supervisor, do you ensure that performance agreements and appraisals are submitted on time by your staff?**

This question was posed to managers and 100% of them indicated that they ensure that performance agreements and appraisals are submitted on time by their staff.

**Table 10: On time submission**

Category	Frequency table: On Time			
	Count	Cumulative Count	Percent	Cumulative Percent
Y	9	9	100	100

**Source: the researcher**

**4.9.26. Does your staff submit the performance agreements and appraisals on time?**

This question was posed to managers and 100% of the managers indicated that their staff submit the performance agreements and appraisals on time.

**Table 11: Staff submission time**

Category	Frequency table: Submitting on time			
	Count	Cumulative Count	Percent	Cumulative Percent
Y	9	9	100	100

Source: the researcher

**4.9.27. In your opinion, what can be done to overcome the late submission of performance agreements and reviews?**

This open-ended question was directed to the managers. One manager suggested that submission timeframes should be set and penalties implemented for those who disobey, whereas another manager suggested a cultural change of attitudes towards the system and a total mind-shift is needed. A third manager recommended that employees who do not submit PAs in time should be given a verbal warning, followed by a written warning of non-compliance. Digitisation of the system was another suggestion.

One of the theories that underpins the PMDS is the goal seeking theory which requires managers and employees to sign a performance agreement that includes set target dates within which to achieve the objectives (Morne, 2002:93).

**4.10 Section B: Monitoring and Feedback****4.10.1. Is your performance monitored effectively?**

This question was posed to both managers and subordinates and 57% of the participants indicated that their performance is monitored effectively by their superiors while 43% indicated it was not effectively monitored. Bhattacharyya (2011:18) suggests that performance monitoring and evaluation must be an ongoing process and should involve coaching, feedback and flexibility for staff so that they can develop their capacities.

**Table 12: Performance Monitoring**

Category	Frequency table: Performance Monitoring			
	Count	Cumulative Count	Percent	Cumulative Percent
Y	13	13	56.52174	56.5217
N	10	23	43.47826	100

Source: the researcher

#### 4.10.2. Is there frequent communication between you and your manager/supervisor about your performance?

This question was posed to both managers and supervisors and 52 % of the participants indicated that there is a frequent communication between the subordinate and the supervisor, whereas 47% indicated communication does not occur frequently. The literature reviewed in Chapter Two indicated that a good PMS encourages employees to improve their performance and strengthens relationships through open communication between staff and managers. In order for a PMDS to be successful it needs encourage involvement between staff and managers through effective communication and goal agreement (Deb, 2008:44).

**Table 13: Frequent communication**

Category	Frequency table: Frequent Communication			
	Count	Cumulative Count	Percent	Cumulative Percent
Y	12	12	52.17391	52.1739
N	11	23	47.82609	100

Source: the researcher

#### 4.10.3. Is your performance measured against mutually agreed set objectives?

This question was posed to both managers and supervisors and 78% of participants that their performance is measured against mutually agreed set objectives and 22% indicated that it is not measured against agreed set objectives. The goal seeking theory emphasizes engagement between managers and employees to review and discuss strategic goals and ensure that performance agreements are meaningfully aligned with realistic measurable strategic objectives (Morne, 2002:93). The White Paper on the HRM in the public service RSA (1997:10) states that the assessment process must be in line with the mutually agreed objectives.

**Table 14: Performance measured against mutual agreed set objectives**

Category	Frequency table: Mutual Agreed Objectives			
	Count	Cumulative Count	Percent	Cumulative Percent
Y	18	18	78.26087	78.2609
N	5	23	21.73913	100

Source: the researcher

#### 4.10.4. Are you provided with verbal or written feedback about positive performance?

This question was posed to both managers and supervisors and 52% of the participants indicated that they do not receive verbal or written feedback about positive performance,

whereas 48% indicated that they do. Performance feedback allows employees to identify how well they have performed in relation to set goals according to the goal seeking theory, while the control theory focuses on feedback as a means of shaping behavior. This theory states that people appreciate known how well they are performing in relation to what is expected of them and, if there are any discrepancies, employees can resolve them (Armstrong, 2009:29).

**Table 15: Feedback about positive performance**

Category	Frequency table: Feedback			
	Count	Cumulative Count	Percent	Cumulative Percent
Y	11	11	47.82609	47.8261
N	12	23	52.17391	100

Source: the researcher

#### **4.10.5. When your performance did not reach the minimum standards, did your manager/supervisor and you address the reasons for this and discuss how you can improve your performance?**

This question was posed to both managers and supervisors and 65% of the participants indicated that their managers do not discuss their poor performance with them, while 35% said they do. If employees are not performing as expected, corrective measures should be taken by the supervisor to assist them. Employees should be provided with the necessary training or re-training and assisted to understand and meet performance standards (Erasmus,2005:290).

**Table 16: Poor Performance**

Category	Frequency table: Performance Standards			
	Count	Cumulative Count	Percent	Cumulative Percent
Y	8	8	34.78261	34.7826
N	15	23	65.21739	100

Source: the researcher

#### **4.10.6. Does the section in which you are employed have clear goals and objectives?**

This question was posed to both managers and supervisors and 65% of the participants agreed that they have clear goals and objectives in their sections, while 35% indicated that they do not have them. The goal seeking theory clarifies exactly what is needed as well as the importance of aligning employee's efforts to departmental goals (Morne, 2002:93). Bhattacharyya (2011:18) advises that specific performance expectations should be set to provide workers with clear instructions about they need to do to attain their objectives.

**Table 17: Clear goals and objectives**

Category	Frequency table: Clear goals and objectives			
	Count	Cumulative Count	Percent	Cumulative Percent
Y	15	15	65.21739	65.2174
N	8	23	34.78261	100

Source: the researcher

#### 4.10.7. Does the ECDoE respond to employee's personal development plans?

This question was posed to both managers and supervisors and 5% of the participants indicated that the ECDoE does not respond to employee's personal development plans, while 35% indicated that they do. Public Service Regulations (2016: s 72) states that an employer shall enter into a performance agreement with an employee and that the said performance agreement should include the personal development plan that identifies the employee's competency and developmental needs.

**Table 18: Personal Development Plan**

Category	Frequency table: Personal Development Plans			
	Count	Cumulative Count	Percent	Cumulative Percent
Y	8	8	34.78261	34.7826
N	15	23	65.21739	100

Source: the researcher

#### 4.10.8. Do you have set targets in the area of your work?

This question was posed to both managers and supervisors and 65% of the participants indicated that they have set targets and indicators in their areas of work, whereas 35% have none. According to the ECPA PMDS Policy (2018:7) reviewed in Chapter Two, targets are agreed on quantitative or qualitative amounts that support performance indicators in describing the optimal performance level needed.

**Table 19: Set targets**

Category	Frequency table: Set Targets			
	Count	Cumulative Count	Percent	Cumulative Percent
Y	15	15	65.21739	65.2174
N	8	23	34.78261	100

Source: the researcher



## 4.11 Section C, Submission of Agreements and Reviews

### 4.11.1. Does the ECDoE remind employees about submission deadlines for performance agreements and reviews?

All participants agreed that the ECDoE reminds employees about submission deadlines for performance agreements and reviews.

**Table 20: Reminders for submission deadlines**

Category	Frequency table: Submission Deadlines			
	Count	Cumulative Count	Percent	Cumulative Percent
Y	23	23	100	100

Source: the researcher

### 4.11.2. Do you think the reminder allows sufficient time for employees to timeously complete and submit the performance reviews?

This question was posed to both managers and supervisors and 87% of the participants indicated that the reminder allow sufficient time for employees to complete and submit their reviews timeously, while the other 13% indicated that the reminder does provide sufficient warning.

**Table 21: Reminder Time**

Category	Frequency table: Reminder_time			
	Count	Cumulative Count	Percent	Cumulative Percent
Y	20	20	86.95652	86.9565
N	3	23	13.04348	100

Source: the researcher

### 4.11.3. Does your supervisor discuss the deadlines with you?

This question was posed to both managers and supervisors and 78% percent of the participants indicated that their supervisors discuss their deadlines with them and 22% indicated that their supervisors do not discuss time constraints with them.

**Table 22: Deadlines Discussion**

Category	Frequency table: Deadlines Discussion			
	Count	Cumulative Count	Percent	Cumulative Percent
Y	18	18	78.26087	78.2609
N	5	23	21.73913	100

Source: the researcher

#### 4.11.4. Do you submit your performance agreements/reviews on time?

This question was posed to both managers and supervisors and 83% of the participants indicated that they submit the performance agreements and reviews on time while 17% of them indicate that they do not submit these documents on time.

**Table 23: On Time Submission**

Category	Frequency table: On time submission			
	Count	Cumulative Count	Percent	Cumulative Percent
Y	19	19	82.6087	82.6087
N	4	23	17.3913	100

Source: the researcher

#### 4.11.5. Can you identify the reason for the late submission?

Managers indicated that the late submission is due to poor communication and noncompliance by the ECDoE and because managers do not take the PA process seriously and, as such, do not give much attention to it whereas subordinates indicated that supervisors take a long time to sign off reviews.

#### 4.11.6. In your opinion, what can be done in order to prevent the late submission of performance agreements and reviews?

One subordinate suggested that the ECDoE should arrange workshops to help employees understand the purpose of PMDS. Whereas another subordinate stated that in order for employees to submit their PAs on time, employees need to be encouraged to informally record their incidents daily and keep this information in a safe place so that its easily accessible when it is needed for the PA review and the employee can easily collate the information and submit the PA review to the supervisor on time.

A third subordinate stated that employees must be reminded frequently by supervisors and managers must be held responsible for the late submissions. Another subordinate commented that not all of employees read their emails on a daily basis, so suggested that a memo can be circulated to all offices to remind employees about the submission date while yet another respondent suggested that employees should be informed a month before the submission date or receive reminders through the ECDoE website in advance. She further elaborated that an employee who is not receiving any reward for excellent performance could feel reluctant to submit PMDS. It is very, therefore, for the supervisor to appreciate good performance and motivate employees by rewarding them for good performance. If employees work hard on a daily basis but do not receive a performance related bonus, they may become lazy and fail to submit performance agreements timeously. Consequently, management should censure those who submit late PAs, otherwise previously conscientious employees might begin to disregard the requirements of the PMDS.

Managers suggested sending employees continuous reminders and monitoring them through intranet as well as implementing penalties for those who disobey PMDS regulations, improving the assessment criteria and ensuring evaluation is based on performance merit and only rewarding those employees who genuinely deserve a performance bonus. Other suggestions included reminding employees a month in advance to submit their performance agreements and reviews because the supervisors have to sit with each employee and review his/ her performance, keeping to closing dates and not accepting late submissions, digitizing the PMDS to allow e-submissions will increase timeous submissions.

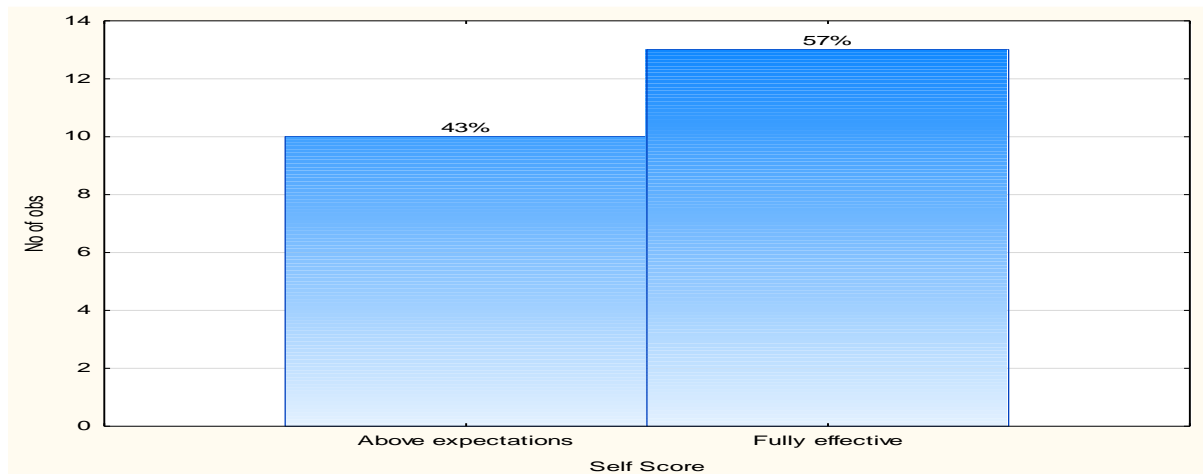
## **1.12. Section D, Rating**

### **4.12.1. In a rating scale of your performance, how are you likely to score yourself?**

This question was posed to both managers and supervisors and 57% of the participants indicated that they score themselves fully effective and 43% indicated that they score themselves performing above expectations. The literature reviewed in Chapter Two indicated that the rating scale involves the process of aggregating and classifying observations into value categories on a certain value scale (Krausert,2009:255). Pulakos (2009:116) suggests that a formal PM review must be used in order to assess quality and a higher-level manager from the HRM section must review all employees' reviews to ensure that all ratings are supported by explanatory comments and that they are a true and unbiased reflection of the employees'

performance. Erasmus et al (2005:290) states that employees should be given an annual pay increase of a certain percentage if their performance is rated as fully effective.

**Figure 17: Self Review**

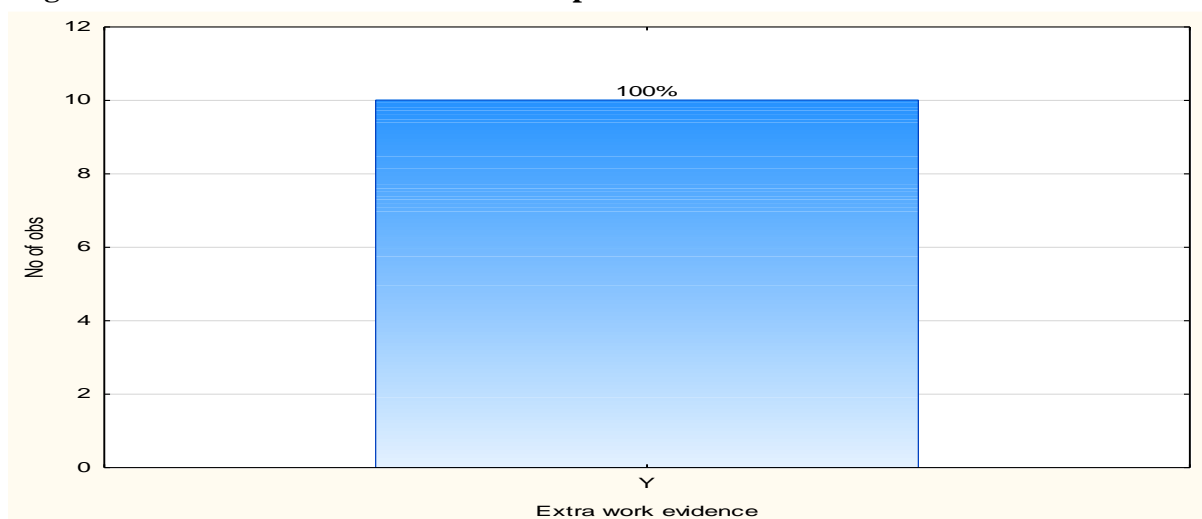


Source: the researcher

#### 4.12.2. Do you provide evidence for the extra work you complete that is outside the scope of your job description?

This question was posed to both managers and supervisors and 100% of the participants indicated that they provide evidence for such work. Increasing employees' salaries annually by a certain percentage, giving performance bonuses and non-cash related rewards can be ways of showing gratitude for good performance that has been supported by appropriate evidence (Erasmus et al, 2005:290). Leonard & Hilgert (2007:399) believe that employees who have performed beyond expectations should be rewarded.

**Figure 18: Evidence of Extra Work Completed**

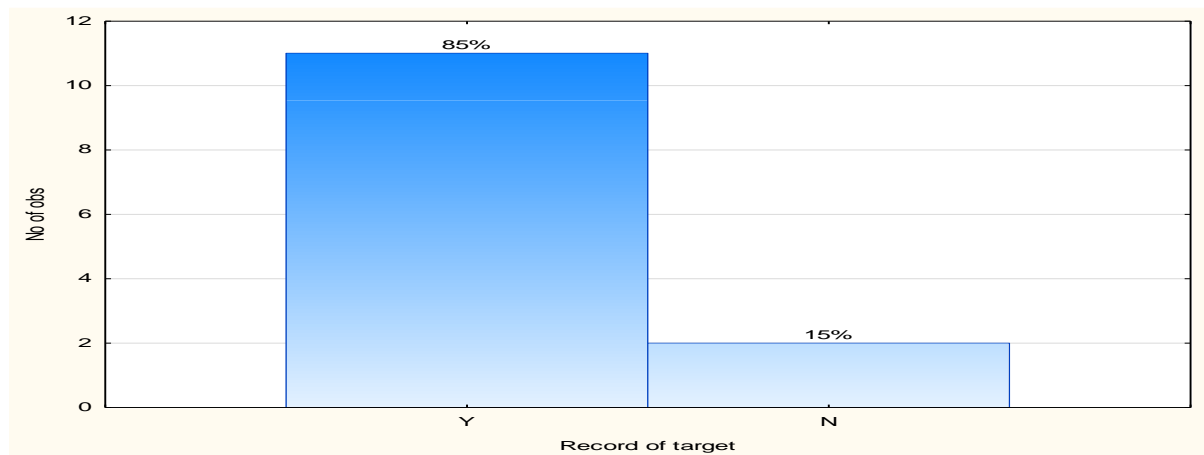


Source: the researcher

#### 4.12.3. Do you keep a record when you accomplish your targets?

This question was posed to both managers and supervisors and 85% of the participants indicated that they record the accomplishment of targets whereas 15% indicated that they do not.

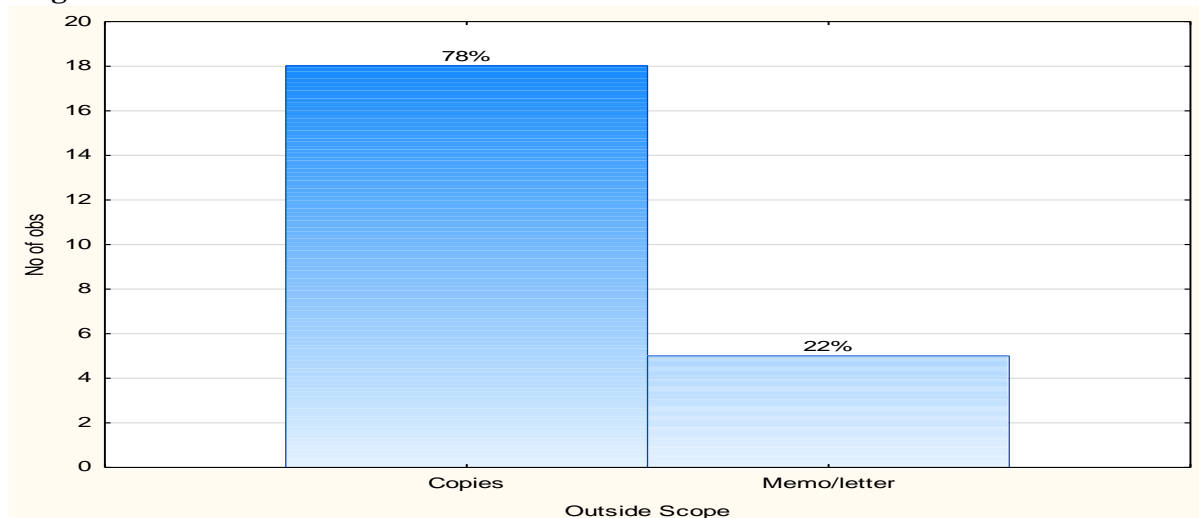
**Figure 19: Record of Targets accomplished**



Source: the researcher

#### 4.12.3. What kind of evidence do you submit for the extra work you complete outside the scope of your job description?

This question was posed to both managers and supervisors and 78% of the participants indicated that they submit copies of the extra work they complete outside the scope of their job-descriptions in order to receive bonuses, however 22% indicated that they submit a memorandum or letter to the PMDS office recording this information. The literature reviewed in Chapter Two indicated that a POE must be attached for performance beyond expectations that contains documents such as relevant reports, letters, invitations, memos, attendance registers and/or minutes of meetings (ECPA PMDS policy:2018).

**Figure 20: Kind of Evidence**

**Source: the researcher**

### 1.13. Summary of the Chapter

This chapter initially explained the research methods followed when conducting this study. This explanation included details of the design and the methodology used, the research instrument, rational for choosing this tool and its content, the pilot testing procedure, the ethical considerations followed and the sampling methods employed. It further discussed the data collected through the online survey/questionnaire that was sent to the ECDoE employees who then consented to participate in the research project. The data was discussed, analysed and interpreted and evidence of the findings was provided in frequency tables and histograms.

The main objective of this research study was to identify whether if the participants (and by implication all ECDoE employees) have knowledge of the relevant policies that govern the DoE (and ECDoE) and also the impact of the PMDS on their working lives. They were asked to express their views openly through the anonymous online survey in which their responses were not linked to their identity. The reliability and validity of the research instrument was pretested for errors and proved to provide accurate and reliable data and, thus, the received responses were deemed adequate which enabled the researcher to draw conclusions.

Open-ended questions were posed to the managers because in all government departments, employees report upwards in the hierarchy and, thus, managers are responsible for granting the final approval of the PAs and performance agreements. Questions were also addressed to subordinates because they are assessed by their supervisors and, thus, directly involved in the

application of the PMDS. Responses to the questions that were relevant to the research study were discussed and analysed. The key findings that were identified will be discussed in the next chapter, together with conclusions and recommendations.

## **Chapter 5 – Findings, Conclusions and Recommendations**

### **5.1 Introduction**

This chapter records the last stage of the research study and thus discusses the main findings regarding the implemented PMDS in the ECDoE. There are many reasons for conducting research, depending upon the individual researcher's areas of interest. The purpose of exploring PM, and the PMDS, in particular was because the researcher had questions concerning the implemented system in the workplace within the DoE and, more specifically, the ECDoE. The main aim was to investigate if there were problems relating to the execution of this system and, after investigation, to reach a conclusion and, hopefully, obtain a solution to the identified problems and recommend ways on resolving them.

For the purpose of this research, participants were identified (namely employees from all level of the ECDoE), asked questions and their responses analysed to obtain the findings that will be discussed in this chapter. 79% of the research participants in this study were older than 36 years and their contributions added value to the comparison between age and gender, which was calculated as  $p=.72947$ . According to the chi square, there was no significance difference or association between the two variables. Both male and female participants shared their opinions and perceptions of PM and the PMDS and the fact that there was no significant differences between their opinions suggests that there is no gender discrimination or favouritism in the application of PMDS by the supervisors within the ECDoE.

According to Marczyk, DeMatteo and Festinger (2005:218) the p-value represents the possibility of chance error in determining whether a finding is valid and, therefore, representative of the population. The researcher believed it was important to prove whether some variables were independent of each other in order to enhance the validity of the research findings.

The fact that fifteen of the research participants were experienced employees, having spent more than ten years with the ECDoE, added value to the findings of this research study. These findings will be discussed and interpreted and conclusions will be drawn and recommendations made in this chapter.



## 5.2 Findings

### 5.2.1 Research Objective 1 – To describe the policy framework that governs the PMDS in the ECDoE.

#### i. PMDS Policy

It is evident that the majority of the research participants are familiar with the PM policy that is used in the ECDoE, and, equally importantly, most of the participants indicated that the policy had been discussed with them. This is a positive finding because the ECPA's PMDS Policy (2018) contains templates for performance agreements, PAs and PDPs which all the directorate and sub-directorates within the ECDoE ought to use. The researcher, therefore, thinks that the availability of these templates in the policy is to ensure that all employees are following the same procedures through the use of the standardised templates and set principles.

The researcher also concludes that in order for PMDS to work effectively, the ECPA's PMDS Policy (2018) should be followed because this policy is a legal document that contains the terms, conditions and exclusions relating to the implementation of the PMDS. However, the fact that 17% of the participating employees have no know of the said policy can prevent its successful execution through the ECDoE. The PMDS policy states as follows: (1) its terms and regulations should be used by all ECPA employees as the overriding document to manage the performance of employees; (2) all employees should complete performance contracts within three months of their appointment; (3) these performance contracts must be completed on the templates prescribed in the ECPA PMDS policy (2018:17) and all ECPA employees must participate in the implementation of the PMDS policy.

The researcher thinks that all employees should make a concerted effort to obtain knowledge of the ECPA's PMDS Policy (2018) from their subordinates and supervisors so that they will be able to comply with its regulations in future. The researcher also stresses that it is imperative that the relevant office addresses the above policy with all ECDoE employees so that they will be in a better position to understand what the policy entails and, thus, what is expected of them in terms of service delivery by complying with the principles of the PA policy. Once the policy is addressed to all employees within the department, both supervisors and subordinates will know the templates to use and documents to attach when submitting PAs, which will,

hopefully, eliminate most of the problems related to the completion and timeous submission of PAs discussed earlier in this research study.

## **ii. Training of employees**

In addition, most of the sampled participants indicated that they had not received PMDS related training. This is an extremely negative finding because it means that they were not shown how to complete the performance agreements and performance reviews documents. The researcher thinks that PMDS related training will enable employees to become aware of the differences between KPAs, KRAs and GAFs, all of which are key components of the PMDS. During the course of this research study, two variables were compared to ascertain if there was a significant difference between the training offered in the various directorates of the ECDoE.

The purpose of establishing the significant difference between these variables was to check if there were any discrepancies, based upon the data provided by the selected research population, instead of merely assuming that training programmes are consistent throughout the ECDoE. The results of the chi-square,  $p=0.3808$  (which is less than the significance level of 0.05) indicates that there is a significant difference between the nature of the training programmes offered throughout the ECDoE. This result means that employees in the Financial Management and Corporate Management sectors received PMDS related training while those in the DCIOM, Education Services and Risk Management sectors did not.

As discussed in Chapter Two of this research study, Pulakos (2009:112) states that in order for a PMDS to be implemented effectively, employees must be trained to use the system. When an organisation devotes time and resources to such training programmes, employees place greater value on PM. Additionally, Bhattacharyya (2011:10) reiterated the necessity of undertaking an in-depth valuation of employees' training needs. It is clear that all employees in the department should be trained on PMDS for the effectiveness of the system.

## **iii. Orientation and induction of new or transferred employees**

The majority of research participants indicated that they had received PMDS related information, orientation and induction, however 42% indicated they had not. The researcher, therefore, thinks that when an employee joins or is transferred to a department, they should be given all the necessary information relating to their employment, including the ECPA's PMDS Policy (2018), because they are required to enter into an agreement with the ECDoE

immediately after such an appointment or transfer. The said employees will be expected to perform tasks for their employer which will be assessed at the end of the financial year. These tasks will be documented in performance agreements and performance appraisals, and if employees have no knowledge of how to interpret and/or complete these documents, they will feel frustrated. All new employees or transferees should be given orientation and given information related to the HR issues.

### **5.2.2 Research Objective 2 – To establish if the payment of incentives or bonuses is informed by the organisation’ overall performance.**

#### **i. Performance Appraisals**

The majority of the participants indicated that PAs are not conducted correctly in the ECDoE, moreover most of the participants reported that the results of PAs are poor due to a number of facts including appraisals not being conducted quarterly according to the ECPA’s PMDS Policy (2018) but only at the end of the financial year for all semesters, and also that there is no consistency in ECDoE in terms of how the PMDS should be applied. Consequently, there are different interpretations as well as applications of this system by the managers of different directorates and sub-directorates due to a lack of a uniform policy. The researcher regards this situation as an adverse finding because it creates confusion and frustration amongst employees.

#### **ii. Monitoring of performance by supervisors**

Some research participants indicated that their performance is monitored effectively by their supervisors but a worrying 43% indicated that they are not. Performance monitoring is the important step of the PM process because the performance of each employee determines the overall performance of employees. It is the supervisor’s responsibility to monitor the PMDS to the said ECPA policy and to report on their subordinates’ performance by means of assessing them against mutually agreed set objectives.

#### **iii. Feedback and Personal Development Plan**

Most of the research participants indicated that they do not receive either written or verbal feedback from their supervisors about their positive performance, nor are they addressed about their poor performance. The majority of the participants indicated that the ECDoE does not respond to employees’ personal development plans. The researcher also regards the situation

as an adverse finding for the ECDoE department and thus, reiterates, the importance of giving feedback to employees because positive performance encourages and motivates employees. It is equally vital for supervisors to address poor performance and to identify areas in which employees are struggling to meet their objectives and to ensure the necessary training or re-training measures are put in place. In order to address their poor workplace performance, employees can also complete the PDP form and state their training requests. However, obtaining such remedial training is a challenge for the majority of the ECDoE employees because, according to the majority of research participants, the HRM department does not respond to the PDPs that they submit. Grote (2002:5) stated that one of the purposes of PA is to provide feedback to employees about their performance, however, Delpo (2007:12) confirmed that one of the major reasons that managers dislike PAs is the discomfort they feel when confronting employees about their poor performance. Arthur (2008:155) argues that all employees need feedback, those who have average performances deserve to know how well they are doing and how they can continue to develop, top performers also need to be commended and to learn about additional challenge while and poor performers need guidelines on how to improve. According to the MPAT Report, the ECDoE was asked whether the HRM department communicate with under-performing employees on how to manage their poor performance, the moderation committee indicated that examples of remedial action, performance improvement plans and/or disciplinary actions taken to address poor performance for the previous performance cycle (2017/2018) were not attached to the PM related documents they received from directorates and sub-directorates.

The majority of research participants indicated that the ECDoE HRM department does not respond to their personal development plans. According to the ECPA PMDS Policy (2018:18) all employees must have a personal development plan aligned to the skills they need to perform their duties according to the standards set out in their job description, should be included as part of their performance contract, and which must be cascaded into the HRM department's workplace skills plan for implementation every financial year.

#### **iv. Payment of bonuses and pay progression**

The majority of the participants indicated that they submit POEs for the extra work they complete that is outside the scope of their job descriptions, while the remainder submit a letter or a memorandum to the PMDS office. The researcher regards this information as a positive finding because the bonuses are only paid if the POEs are attached to PAs. The majority of the

subordinates indicated that they score their performances as fully effective and above expectations which qualifies them for bonuses. Furthermore, supervisors indicated that they assess their subordinates according to their achieved outputs based on set objectives. Based on this latter admission the researcher concludes that the payment of incentives and bonuses is informed by the overall performance of the respective directorates or sub-directorates. This finding was further verified on the annual report of 2018/2019 where the department indicated that in order to recognise good performance, the department has rewarded a total of 5661 employees with a total cash of R37 124 000.00 (Annual report, 2019:124). In the annual report of 2017/2018, a number 5102 employees were rewarded for good performance an amount totalling to R39 119 000.00 (Annual Report, 2018:136).

According to theorists reviewed in Chapter Two above, employees who have performed beyond expectations should be rewarded and an annual increase of a certain percentage can be a way recognising good performance (Erasmus et al 2005:290; Leornard & Hilgert 2007:399; Wright 2006:126). However, the perceptions of the majority of the research participants regarding the implemented PMDS in the ECDoE specify PAs are not conducted effectively and that the PMDS is not serving its purpose of enhancing service delivery. Instead the system is used by employees as a ‘money-making scheme’ which involves favouritism and the influence of unions. However, contrary to the views expressed by research participants, the MPAT Report by the Office of the Premier indicated that when the DoE was asked whether they recognise performance that exceeds expectations, they stated that they did so only if corroborating POEs was attached for scrutinisation by the moderation committee.

### **5.2.3 Research Objective 3 - To seek find the perceptions of ECDoE employees concerning the implemented PMDS.**

#### **i. Perception of employees**

The majority of the sample participants indicated that the PMDS is not serving its intended purpose, namely that of planning, managing and improving employees’ performance, in the ECDoE. Additionally, they recommend that performance bonuses should be paid on merit which is in line with the PMDS policy, and not based on favouritism. They also requested the setting of achievable targets that are aligned to the strategic goals and objectives of the

department, as well as the implementing of corrective measures to ameliorate the audit report findings.

The participants also stated that employees should be trained on PMDS and employees' skill shortages should be monitored and addressed. They reported that the influence of unions on the PM process is very unhealthy because, due to their pressure, managers sometimes do not assess employees according to their performance but on the review generated by the employees themselves. In addition to stating that assessments are very subjective, they also reported that, in their opinion, the PMDS has become a "money-making scheme" instead of a PM tool.

Further, the participants indicated that their penalties are not implemented for noncompliance to the PMDS regulations hence the claimed "ignorance of due dates" resulting in late submission and delayed payment of accruals. The researcher considers that these statements indicate employees are not positive about the PMDS which is an adverse finding because it indicates that this system is not serving its primary purpose of effectively managing employees' performance and it is clear that it was not correctly implemented.

#### **5.2.4 Research Objective 4 – To determine if performance agreements and performance appraisals were submitted timeously to the members of the ECDoE**

##### **i. Performance agreements and performance appraisal timeframe**

The majority of the sample participants indicated that they ensure that performance agreements and performance reviews are submitted on time by their subordinates. Further they indicated that the HRM department timeously reminds employees of submission deadlines, although some participants did not feel that one reminder is enough. The majority of subordinates indicated that their supervisors discussed the deadlines with them while the minority indicated that their supervisors do not do this.

Furthermore, the majority of subordinates indicated that they submit performance agreements and reviews on time, while 17% indicated that they could not do so due to poor communication and noncompliance by the HRM department. They also suggested that the HRM department should have workshops with employees to help them understand the purpose of PMDS. They also mentioned that employees must be frequently reminded of submission deadlines by supervisors and that managers should be held responsible for the late submission of PA related

documents. They suggested that a memo be circulated to all offices to remind supervisors and subordinates about the due date because not all employees read their emails daily. Employees should be reminded at least one month before the submission date and timeframes for completion of PAs should be set between supervisor and subordinates. The researcher regards this a positive finding as most participants indicated that they submit on time and are reminded timeously.

To conclude, the majority of the research participants indicated that they submit their performance agreements and PAs on time while those indicated that they do not do so, proposed the setting of timeframes, together with the sending of frequent reminders. Although ways to improve late submission of performance agreements and appraisals have been established, however, according to the MPAT Report, only 28% of the ECDoE's contracted employees timeously submitted PA related returns for 2018/2019 which were captured on the persal system for level 1 to 12. According to the DPSA stats only 44% of the SMS members complied with the signing of performance agreements for level 13 and above. If employees state that they are submitting PA reports timeously to the PMDS office and the MPAT report indicates otherwise, this indicates that there is a delay in capturing data by the HRM office into a persal system which causes late submission to the Office of the Premier which results in the erroneous conclusion that the various directorates and sub-directorates are submitting their PMDS returns later than the due dates stipulated in the ECPA PMDS Policy (2018).

#### **5.2.5. Research objective 5 - To review existing literature to be able to identify key principles and elements for a successful implementation of PMDS**

Literature in chapter two of this study was reviewed and theories that underline performance management were discussed and analysed. The research objective was to identify key principles and these key principles were identified in goal seeking theory for a successful implementation of PMS. The goal seeking theory emphasised on the engagement between managers and supervisors on the onset to set targets that are linked to the strategic objectives of the organisation. Managers and employees to sign the performance agreement that has set dates in which to achieve the targeted objectives and these performance agreements should have measurable objectives that are aligned with the overall strategic objectives of the department. Performance is then measured in a consultative, supportive and non-discriminatory manner to enhance organisational efficiency and effectiveness, accountability for the use of resources and the achievement of results Morne et al., (2002:93). Most



participants indicated that they have set targets in the area of their work and performance agreements were signed on time by managers and supervisors. If they have set target it will be easy to measure their performance based on the set targets and objectives.

#### **5.2.6. Research objective 6 - To review the acts, regulations and legislative frameworks that are applicable to PMDS in the public sector**

The ECPA PMDS policy (2018) is used as a guide for performance management in the ECDoE. This policy was reviewed together with the acts, regulations and legislative frameworks that are applicable in the public sector in chapter three. The researcher has established that the policy has been drafted according to the prescripts of the acts and regulations. In order for a PMDS to be successful implemented in the public sector, key principles were identified that PMDS should be result orientated, training and development plans should be set, good performance should be rewarded, poor performance should be managed, openness, fairness, objectivity should be maintained (RSA:1997). When these principles were compared with the empirical data collected for this study. It showed that PMDS is not/was not implemented effectively or correctly in the department. The system is not yielding any positive results in terms of performance and development as most participants indicated that it does not serve its purpose and performance appraisals are not conducted properly. It was discovered that employees are not trained, development plans are not considered though employees complete the development plans, employees are not given feedback about poor performance, there is no openness, fairness and objectivity, however good performance is rewarded. The ECPA (2018:4) stated that employees perceive the PMDS as an instrument for obtaining financial reward and not as a mechanism for improving performance and developing employees and, as a result, huge sums of money have been paid out on bonuses.

### **5.4 Recommendations**

#### **1. PMDS policy should be made available to all employees within the ECDoE**

It is advisable that the ECDoE should ensure that every employee knows the policy governing PMDS and each employee has access to this policy. The PMDS office should make use of the ECDoE website and attach the policy where it can be easily accessible by all ECDoE employees. It is very important that the PMDS policy should be explained to all employees



within the ECDoE because it provides clear guidance on what is expected from both the employer and the employee.

## **2. Training of employees should be prioritised**

It is advisable that all employees within the ECDoE should be trained on PMDS, to avoid confusion by employees. They should know how to complete the PAs and the personal development plans to avoid leaving certain sections blank because “they do not know how to complete these sections” due to them not having been trained how to do so, together with the fact that the HRM is constantly changing templates and sending them to employees via e-mail without providing training. All employees in the department should be given information on the PMDS and new employees in particular should be given orientation training on the PMDS.

## **3. Employees should be shown how to complete performance appraisals efficiently**

PAs should be implemented properly by the HRM department so that managers, supervisors and subordinates know how to complete this process without being frustrated, because this emotion often cause noncompliance by employees.

## **4. Feedback should be given to employees about their performance**

As part of the PA procedure, feedback should be given to employees about their average, above-average or poor performance on a quarterly or half yearly basis and not only during the annual review, thus giving under-achieving employees a chance to improve their performance.

## **5. HRM should respond to personal development plans for all employees**

Personal development plans completed by employees should been recognised by the HRM department and employees sent for the skills/trainings identified in the PA form.

## **6. HRM should prioritise the capturing of data**

HRM department should develop for ‘fast-tracking’ the capturing of data related to performance agreements and PAs on the PMDS system.

## **7. Evaluation of effectiveness of the system should be instigated**

Based on the empirical data and evidence, the system was not implemented correctly and therefore its effectiveness should be evaluated by the HRM department.

## **5.5 Limitations of the research**

The researcher had to apply for an ethical clearance certificate in terms of Stellenbosch University's regulations before commencing with data gathering and had to wait until clearance was granted. Immediately after the clearance certificate was approved and the researcher was ready to start the research process, SA came into a standstill due to corona virus pandemic and this situation adversely affected the progress of the research project because the participants were unavailable because they were no longer operating within their workplaces because of the lockdown restrictions. Four participants failed to respond to the online survey but that did not have an impact in this study. A small sample size was used for this study and therefore the researcher was not able to generalise the findings for the entire ECDoE. The findings were informed by the context of this research.

## **5.6 Recommendation for future research**

Future research can be conducted to determine whether the key principles for a successful performance management in the public sector identified in this study can produce desired outcomes and improve the effectiveness of PM.

## **5.7 Conclusion**

This chapter presented the findings and conclusions that were drawn in this study and offered recommendations based on the formulated findings and made recommendations for future research, limitations of the research were also highlighted. The challenges facing the ECDoE concerning the implemented PMDS were identified and discussed in conjunction with the challenges of PMS that were discussed in chapter two of this research paper. One major challenge was the lack of training for employees which is a fundamental issue for both supervisor and supervisee. Without a proper training, both will not know what is expected of them and fail to meet the objectives of PMDS which is improve service delivery.... Amongst other things, the researcher has recommended for evaluation of the PMDS in the ECDoE for its effectiveness and changes need to be implemented in the near future.

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## Appendix A – Electronic Consent Form



UNIVERSITEIT • STELLENBOSCH • UNIVERSITY  
jou kennisvenoot • your knowledge partner

Dear participant

My name is Vuyiseka Mdoda, a researcher at the School of Public Leadership, Economic and Management Sciences, in the University of Stellenbosch and I would like to invite you to take part in a survey, the results of which will contribute to a research project in order to complete my Master's degree in Public and Development Management.

Please take some time to read the information presented here, which will explain the details of this project. Your participation is entirely voluntary and you are free to decline to participate. If you say no, this will not affect you negatively in any way whatsoever. You are also free to withdraw from the study at any point, even if you do agree to take part.

The purpose of this study is to explore the implemented of Performance and Development Management System (PMDS) in the Department of Education to be able to determine the policy framework that is governing the department including the perceptions of employees concerning PMDS and to determine any challenges the department maybe facing. The purpose also is to recommend ways to improve the timeous submission of performance agreements, reviews etc., and to identify whether the payment of incentives is informed by the overall performance of employees.

The anonymous questionnaire will take approximately 20 minutes to complete and will contain a combination of questions covering the implementation of the system in the department, the challenges concerning the system and also monitoring and feedback on reviews.

### RIGHTS OF RESEARCH PARTICIPANTS:

You have the right to decline answering any questions and you can exit the survey at any time without giving a reason. You are not waiving any legal claims, rights or remedies because of your participation in this research study. If you have questions regarding your rights as a research participant, contact Mrs Maléne Fouché [mfouche@sun.ac.za; 021 808 4622] at the Division for Research Development.

Your information and response to the survey will be protected by passwords and be stored on encrypted files, however, the survey is set as an anonymised survey which will yield anonymous responses; so, your answers will not be linked to you in anyway and the researcher won't be able to pick **your identity**.

If you have any questions or concerns about the research, please feel free to contact the researcher Vuyiseka Mdoda on 081 365 7816/ 040 608 4150 and/or the Supervisor, Dr. Zwelinzima Ndevu on 021 808 2195.

I confirm that I have read and understood the information provided for the current study.	YES	NO
	<input type="checkbox"/>	<input type="checkbox"/>
I agree to take part in this survey.	YES	NO
	<input type="checkbox"/>	<input type="checkbox"/>

## Appendix B – Ethical Clearance Certificate



UNIVERSITEIT  
STELLENBOSCH  
UNIVERSITY

### NOTICE OF APPROVAL

REC: Social, Behavioural and Education Research (SBER) - Initial Application Form

12 May 2020

Project number: 11722

Project Title: An Exploration of the Performance Management and Development System

Dear Miss Vuyiseka Mdoda

Your response to stipulations submitted on 16 March 2020 was reviewed and approved by the REC: Social, Behavioural and Education Research (REC: SBE).

Please note below expiration date of this approved submission:

**Ethics approval period:**

Protocol approval date (Humanities)	Protocol expiration date (Humanities)
10 March 2020	9 March 2023

### GENERAL COMMENTS:

#### **1. SUSPENSION OF PHYSICAL CONTACT RESEARCH ACTIVITIES AT SU**

There is a postponement of all physical contact research activities at Stellenbosch University, apart from research that can be conducted remotely/online and requires no human contact, and research in those areas specifically acknowledged as essential services by the South African government under the presidential regulations related to COVID-19 (e.g. clinical studies).

Remote (desktop-based/online) research activities, online analyses of existing data, and the writing up of research results are strongly encouraged in all SU research environments.

Please read the REC notice for suspension of physical contact research during the COVID-19 pandemic: <http://www.sun.ac.za/english/research-innovation/Research-Development/sbecovid-19>

If you are required to amend your research methods due to this suspension, please submit an amendment to the REC: SBE as soon as possible. The instructions on how to submit an amendment to the REC can be found on this webpage: [\[instructions\]](#), or you can contact the REC Helpdesk for instructions on how to submit an amendment: [applyethics@sun.ac.za](mailto:applyethics@sun.ac.za).

#### **INVESTIGATOR RESPONSIBILITIES**

Please take note of the General Investigator Responsibilities attached to this letter. You may commence with your research after complying fully with these guidelines.

**If the researcher deviates in any way from the proposal approved by the REC: SBE, the researcher must notify the REC of these changes.**

Please use your SU project number (11722) on any documents or correspondence with the REC concerning your project.

Please note that the REC has the prerogative and authority to ask further questions, seek additional information, require further modifications, or monitor the conduct of your research and the consent process.

#### **CONTINUATION OF PROJECTS AFTER REC APPROVAL PERIOD**

You are required to submit a progress report to the REC: SBE before the approval period has expired if a continuation of ethics approval is required. The Committee will then consider the continuation of the project for a further year (if necessary).

Once you have completed your research, you are required to submit a final report to the REC: SBE for review.

**Included Documents:**

Document Type	File Name	Date	Version
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Proof of permission	Application Form to conduct Research (1)	05/11/2019	word document
Data collection tool	questionnaire	08/11/2019	word document
Informed Consent Form	SU HUMANITIES Consent template_electronic survey	08/11/2019	
Research Protocol/Proposal	Research Proposal	09/11/2019	word document
Recruitment material	SU HUMANITIES Consent template_electronic survey	17/01/2020	
Proof of permission	research letter ecdos.gov.za	13/03/2020	pdf
Default	TEMPLATE FOR RESPONSE LETTER	16/03/2020	Word document

If you have any questions or need further help, please contact the REC office at [cgraham@sun.ac.za](mailto:cgraham@sun.ac.za).

Sincerely,

Clarissa Graham

REC Coordinator: Research Ethics Committee: Social, Behavioral and Education Research

National Health Research Ethics Committee (NHREC) registration number: REC-050411-032.  
The Research Ethics Committee: Social, Behavioural and Education Research complies with the SA National Health Act No.61/2003 as it pertains to health research. In addition, this committee abides by the ethical norms and principles for research established by the Declaration of Helsinki (2013) and the Department of Health Guidelines for Ethical Research: Principles Structures and Processes (2<sup>nd</sup> Ed.) 2015. Annually a number of projects may be selected randomly for an external audit.

## Principal Investigator Responsibilities

### Protection of Human Research Participants

As soon as Research Ethics Committee approval is confirmed by the REC, the principal investigator (PI) is responsible for the following:

**Conducting the Research:** The PI is responsible for making sure that the research is conducted according to the REC-approved research protocol. The PI is jointly responsible for the conduct of co-investigators and any research staff involved with this research. The PI must ensure that the research is conducted according to the recognised standards of their research field/discipline and according to the principles and standards of ethical research and responsible research conduct.

**Participant Enrolment:** The PI may not recruit or enrol participants unless the protocol for recruitment is approved by the REC. Recruitment and data collection activities must cease after the expiration date of REC approval. All recruitment materials must be approved by the REC prior to their use.

**Informed Consent:** The PI is responsible for obtaining and documenting affirmative informed consent using **only** the REC-approved consent documents/process, and for ensuring that no participants are involved in research prior to obtaining their affirmative informed consent. The PI must give all participants copies of the signed informed consent documents, where required. The PI must keep the originals in a secured, REC-approved location for at least five (5) years after the research is complete.

**Continuing Review:** The REC must review and approve all REC-approved research proposals at intervals appropriate to the degree of risk but not less than once per year. There is **no grace period**. Prior to the date on which the REC approval of the research expires, it is the PI's responsibility to submit the progress report in a timely fashion to ensure a lapse in REC approval does **not** occur. Once REC approval of your research lapses, all research activities must cease, and contact must be made with the REC immediately.

**Amendments and Changes:** Any planned changes to any aspect of the research (such as research design, procedures, participant population, informed consent document, instruments, surveys or recruiting material, etc.), must be submitted to the REC for review and approval before implementation. Amendments may not be initiated without first obtaining written REC approval. The **only exception** is when it is necessary to eliminate apparent immediate hazards to participants and the REC should be immediately informed of this necessity.

**Adverse or Unanticipated Events:** Any serious adverse events, participant complaints, and all unanticipated problems that involve risks to participants or others, as well as any research-related injuries, occurring at this institution or at other performance sites must be reported to the REC within **five (5) days** of discovery of the incident. The PI must also report any instances of serious or continuing problems, or non-compliance with the REC's requirements for protecting human research participants.

**Research Record Keeping:** The PI must keep the following research-related records, at a minimum, in a secure location for a minimum of five years: the REC approved research proposal and all amendments; all informed consent documents; recruiting materials; continuing review reports; adverse or unanticipated events; and all correspondence and approvals from the REC.

**Provision of Counselling or emergency support:** When a dedicated counsellor or a psychologist provides support to a participant without prior REC review and approval, to the extent permitted by law, such activities will not be recognised as research nor the data used in support of research. Such cases should be indicated in the progress report or final report.

**Final reports:** When the research is completed (no further participant enrolment, interactions or interventions), the PI must submit a Final Report to the REC to close the study.

**On-Site Evaluations, Inspections, or Audits:** If the researcher is notified that the research will be reviewed or audited by the sponsor or any other external agency or any internal group, the PI must inform the REC immediately of the impending audit/evaluation.

## Appendix C – Letter of Approval to Conduct Research (ECDoE)



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### STRATEGIC PLANNING POLICY RESEARCH AND SECRETARIAT SERVICES

Steve Vukile Tshwete Complex • Zone 6 • Zwelitsha • Eastern Cape  
Private Bag • Bhisho • 5605 • REPUBLIC OF SOUTH AFRICA  
Tel: +27 (0)40 608 4691/4773 • Fax: +27 (0)86 742 4942 • Website: [www.ecdoe.gov.za](http://www.ecdoe.gov.za)

Enquiries: B Pamla Email: [babalwa.pamla@ecdoe.gov.za](mailto:babalwa.pamla@ecdoe.gov.za) Date: 04 March 2020

Ms. Vuyiseka Cynthia Mdoda  
Ginsberg  
King Williams Town  
5600

Dear Ms. V.C. Mdoda

PERMISSION TO UNDERTAKE MASTERS STUDY: AN EXPLORATION OF THE  
PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM IN THE DEPARTMENT  
OF EDUCATION IN EASTERN CAPE.

- 
1. Your application to conduct the above mentioned research involving 55 administrative staff in the jurisdiction of Head office in the Eastern Cape Department of Education (ECDoE) is hereby approved based on the following conditions:
    - a. there will be no financial implications for the Department;
    - b. you will make all necessary arrangement concerning your research;
    - c. institutions and respondents must not be identifiable in any way from the results of the investigation;
    - d. all ethical considerations are adhered to;
    - e. you seek parents' consent for minors; f. it is not going to interrupt educators' time and task;
    - g. the research may not be conducted during official contact time, including school breaks, but an arrangement to do research at the school after school hours may be arranged and agreed upon in writing with the Principal and the affected teacher/s;
    - h. you present a copy of the written approval letter of the Eastern Cape Department of Education (ECDoE) to the Cluster and District Directors before any research is undertaken at any institutions within that particular district;



- i. should you wish to extend the period of research after approval has been granted, an application to do this must be directed to Chief Director: Strategic Management Monitoring and Evaluation;
  - j. your research will be limited to those institutions for which approval has been granted, should changes be effected written permission must be obtained from the Chief Director: Strategic Management Monitoring and Evaluation;
  - k. you present the Department with a copy of your final paper/report/dissertation/thesis free of charge in hard copy and electronic format. This must be accompanied by a separate synopsis (maximum 2 – 3 typed pages) of the most important findings and recommendations if it does not already contain a synopsis.
  - l. you present the findings to the Research Committee and/or Senior Management of the Department when and/or where necessary.
  - m. you are requested to provide the above to the Chief Director: Strategic Management Monitoring and Evaluation upon completion of your research.
  - n. you comply with all the requirements as completed in the Terms and Conditions to conduct Research in the ECDoE document duly completed by you.
  - o. you comply with your ethical undertaking (commitment form)
  - p. You submit on a six monthly basis, from the date of permission of the research, concise reports to the Chief Director: Strategic Management Monitoring and Evaluation
2. The Department reserves a right to withdraw the permission should there not be compliance to the approval letter and contract signed in the Terms and Conditions to conduct Research in the ECDoE.
  3. The Department will publish the completed Research on its website.
  4. The Department wishes you well in your undertaking. You can contact the Director, Ms. NY Kanjana on the numbers indicated in the letterhead or email [nelisa.kanjana@ecdoe.gov.za](mailto:nelisa.kanjana@ecdoe.gov.za) should you need any assistance.



**NY KANJANA**  
**DIRECTOR: STRATEGIC PLANNING POLICY AND RESEARCH**  
**FOR SUPERINTENDENT-GENERAL: EDUCATION**

## Appendix D – Questionnaire

**1. Which gender are you?**

- ☐ Male
- ☐ Female

**2. What age group do you fall under the ones mentioned above?**

- ☐ Under 25
- ☐ 26 - 35
- ☐ 36 - 45
- ☐ 46+

**3. How long have you been an employee in the Department of Education?**

- ☐ 0-5 years
- ☐ 6-10 years
- ☐ 11-20 years
- ☐ More than 20 years

**4. Which directorate / program do you belong to?**

- ☐ Education Services
- ☐ Corporate Management
- ☐ Financial Management
- ☐ District Coordination and Institutional Operations Management
- ☐ Internal Audit
- ☐ Risk Management

**5. How long have you been in your current position?**

- ☐ 0-6 years
- ☐ 7-10 years
- ☐ 11-20 years
- ☐ More than 20 years

**6. What is your rank/position in the department?**

- ☐ Chief Director (level 14)
- ☐ Director (level 13)
- ☐ Deputy Director (level 11, level 12)
- ☐ Assistant Director (level 9, level 10)
- ☐ Senior Provisioning Administrative Officer (level 8)
- ☐ Provisioning Administrative Officer (level 7)
- ☐ Senior Administrative Clerk (level 6)
- ☐ Administrative Clerk (level 5)
- ☐ Other: Please specify

	Yes	No
7. Do you know the offices of Performance Management and Development System (PMDS) in the Department?	<input type="radio"/>	<input type="radio"/>
8. Do you know the relevant people to consult in the PMDS office?	<input type="radio"/>	<input type="radio"/>
9. Do you know the policy governing the PMDS in the Department?	<input type="radio"/>	<input type="radio"/>
10. Was this policy addressed to you as an employee of the department?	<input type="radio"/>	<input type="radio"/>

**11. Was the policy implemented to improve service delivery?**

- ☐ Yes
- ☐ No
- ☐ Not sure

**12. Do you know the purpose of PMDS?**

- ☐ Yes
- ☐ No
- ☐ Unsure

**13. Can you provide the purpose?**

**14. How often does the PMDS office conduct workshops?**

- ☐ Monthly
- ☐ Quarterly
- ☐ Semi-Annually
- ☐ Annually
- ☐ Never

**15. As an employee of the department, were you trained on PMDS?**

- ☐ Yes
- ☐ No

**16. Have you ever been given information, for example during induction/orientation on how PMDS is?**

- ☐ Yes
- ☐ No



**17. Do you think that performance appraisals are done properly in the department?**

☐ Yes

☐ No

**18. How would you rate performance appraisal as done in the department?**

☐ Excellent

☐ Good

☐ Poor

☐ Very poor

**19. What is your reason/s for your rating?**

**20. When assessing your subordinate, is the assessment measured based on achieved outputs?**

☐ Yes

☐ No

**21. Can you explain how do you assess the performance?**

**22. In your view, what are the problems / challenges with the manner in which the performance appraisal is carried out in the department?**

**23. In your opinion, what are the causes of these problems or obstacles that you answered in the previous question above?**

**24. Do you think that PMDS is serving its purpose in the Department?**

☐ Yes

☐ No

**25. Can you recommend ways on how to improve PMDS?**

**26. Are there any appropriate mechanisms and systems in place to enable the measurement of performance in terms of identifying performance indicators and targets (Are there any measures in place to identify problems with regards to performance indicators and targets)?**

**27. As a supervisor, do you ensure that performance agreements and appraisals are submitted on time by your staff?**

- ☐ Yes
- ☐ No

**28. Is your staff submitting the performance agreements and appraisal on time?**

- ☐ Yes
- ☐ No

**29. Do you apply consequence management for the noncompliance?**

- ☐ Yes
- ☐ No

**30. In your opinion, what can be done in order to improve the late submission of performance agreements and reviews?**

	Yes	No
31. Is your performance monitored effectively?	<input type="radio"/>	<input type="radio"/>
32. Is there a frequent communication between you and your manager/ supervisor about your performance?	<input type="radio"/>	<input type="radio"/>
33. Is your performance measured against mutually agreed set objectives?	<input type="radio"/>	<input type="radio"/>
34. Are you provided with verbal or written feedback about positive performance?	<input type="radio"/>	<input type="radio"/>
35. Where performance has not reached the minimum standards, did your manager/supervisor and you address the reasons for this and how to improve performance?	<input type="radio"/>	<input type="radio"/>
36. The section where you are employed in, does it have clear goals and objectives?	<input type="radio"/>	<input type="radio"/>
37. Does the department respond to personal development plans?	<input type="radio"/>	<input type="radio"/>
38. Do you understand what is expected of you in terms of service delivery?	<input type="radio"/>	<input type="radio"/>
39. Do you have set targets in the area of your work?	<input type="radio"/>	<input type="radio"/>

### Section C – Submission of Agreements and Reviews

**40 Does the department remind employees on submission deadlines of performance agreements and reviews?**

- ☐ Yes  
☐ No

**41 Do you think the reminder is permitting enough time for employees to complete the reviews on time?**

- ☐ Yes  
☐ No

**42 Does your supervisor discuss the deadlines with you?**

- ☐ Yes  
☐ No

**43 Do you submit your performance agreements/reviews on time?**

- ☐ Yes  
☐ No

**44 Can you identify the reason for the late submission?**

**45 In your opinion, what can be done in order to improve the late submission of performance agreements and reviews?**

This is the end of the questionnaire, thank you for participating.

#### Section D – Rating

**46. In a rating scale of your performance, how likely are you to score yourself?**

- ☐ performance significantly above expectations (4)
- ☐ fully effective (3)
- ☐ performance not fully effective (2)
- ☐ unacceptable performance (1)

**47. Do you provide evidence for the extra work done that is outside the scope of your work?**

- ☐ Yes
- ☐ No

**48. Do you keep a record of the target accomplished?**

- ☐ Yes
- ☐ No

**49. Do you address with your supervisor the challenges that you are facing?**

- ☐ Yes
- ☐ No

**50. Do you address with your supervisor that you cannot perform as expected?**

- ☐ Yes
- ☐ No

**51. What kind of evidence do you submit for the extra work done that is outside the scope of the work?**

- ☐ Memorandum/Letter
- ☐ Copies of all work done including e-mails